



**United States
Department of
Agriculture**

Marketing and
Regulatory
Programs

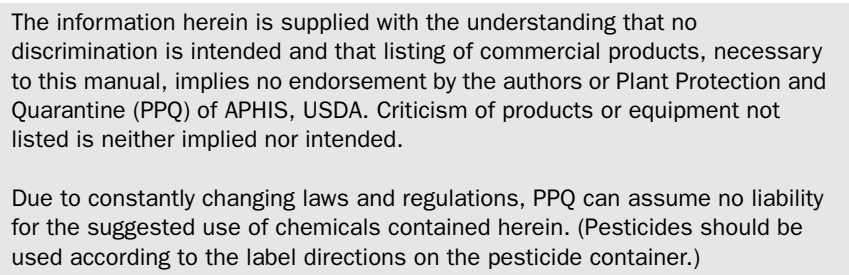
Animal and
Plant Health
Inspection
Service

Plant Protection
and Quarantine

Export Certification Manual

04/2002-01 Edition, Revision 06/2002-02





Instructions:

1. Record the Transmittal Number and the date you received the update in the appropriate columns.
2. If you are missing updates or manual parts, contact Distribution in Riverdale, Maryland. (Phone 1-301-734-4474; Fax 1-301-734-8455)

[illegible]

Contents

Contents

List of Figures

List of Tables

Introduction

- Purpose *page 1-1-1*
- Scope *page 1-2-1*
- Users and Responsibilities *page 1-3-1*
- Related Documents *page 1-4-1*
- How to Use the Export Certification Manual
(ECM) *page 1-5-1*
- Reporting Problems *page 1-6-1*
- Training *page 1-7-1*
- The Export Certification Project (EXCERPT) *page 1-8-1*

Methods And Procedures

- Overview *page 2-1-1*
- Decision to Certify *page 2-2-1*
- Import Requirements *page 2-3-1*
- Inspectional Guidelines *page 2-4-1*
- Federal Phytosanitary Certificate, PPQ Form 577 *page 2-5-1*
- Phytosanitary Certificate for Reexport, PPQ Form
579 *page 2-6-1*
- Export Certificate, Processed Plant Products, PPQ Form
578 *page 2-7-1*
- Process Protected Plants *page 2-8-1*
- Mail Exports *page 2-9-1*
- Containerized Oak Lumber *page 2-10-1*

Glossary

- Definitions and Explanations of Terms *page 3-1-1*

Appendixes

Appendix A

- Fees and Costs *page A-1-1*

Appendix B

- A List of Contact Point Officers *page B-1-1*

Appendix C

- The Application for Inspection and Certification of Domestic
Plants and Plant Products for Export (PPQ Form
572) *page C-1-1*

Appendix D

A Compilation of Contacts for Various Agencies and Official
Certificates Issued by Various Agencies and States That May
or May Not Be Acceptable in Place of Inspection *page D-1-1*

Appendix E

A Compilation of Certificates, Permits, and Reports Related to
the Special Procedures for Exporting Protected Plant
Species *page E-1-1*

Appendix F

The Cooperative Federal-State Phytosanitary Export
Certification Program *page F-1-1*

Appendix G

The Mill Certification Programs for Coniferous Sawn
Wood *page G-1-1*

Appendix H

Issuing Compliance Agreements (PPQ Form 519) With Cotton
Compresses and Warehouses for the Phytosanitary
Inspection of Compressed, Baled Cotton *page H-1-1*

Appendix I

Plants in Growing Media *page I-1-1*

Appendix J

Maintenance: Supporting and Updating the Export
Certification Manual *page J-1-1*

Appendix K

Directory of Phytosanitary Notes *page K-1-1*

Appendix L

Approved Country Names *page L-1-1*

Appendix M

Emergency Response *page M-1-1*

Appendix N

Certification Violations *page N-1-1*

Appendix O

United States/Canada Greenhouse Certification
Program *page O-1-1*

Appendix P

U.S. Export Standards for Seed Potatoes *page P-1-1*

Appendix Q

Accreditation Program *page Q-1-1*

List of Figures

- FIGURE 1-3-1: Sample of documented errors found on a Federal Phytosanitary Certificate (FPC) *page 1-3-6*
- FIGURE 2-1-1: Overview of guidelines for export certification *page 2-1-2*
- FIGURE 2-2-1: Overview of steps for the decision to certify plants or plant products for export *page 2-2-2*
- FIGURE 2-3-1: Overview of steps for determining import requirements for plants or plant products offered for export *page 2-3-2*
- FIGURE 2-3-2: Summary of factors that must be considered when you determine if a plant or plant product is restricted *page 2-3-5*
- FIGURE 2-4-1: Overview of general inspectional guidelines *page 2-4-2*
- FIGURE 2-4-2: Safety precautions *page 2-4-10*
- FIGURE 2-5-1: Sample of Phytosanitary Certificate, PPQ Form 577 *page 2-5-3*
- FIGURE 2-5-2: Example of the treatment section of PPQ Form 577 that has been lined out because an official treatment was not conducted *page 2-5-4*
- FIGURE 2-5-3: Example of how to line out the appropriate section of PPQ Form 577 when an AD is present *page 2-5-8*
- FIGURE 2-5-4: Example of how to line out the appropriate section of PPQ Form 577 when an AD is not required *page 2-5-8*
- FIGURE 2-5-5: Exceptions to acceptable AD's *page 2-5-9*
- FIGURE 2-6-1: Sample of Phytosanitary Certificate for Reexport, PPQ Form 579 *page 2-6-7*
- FIGURE 2-7-1: Sample of Export Certificate, Processed Plant Products, PPQ Form 578 *page 2-7-2*
- FIGURE 2-8-1: Overview of steps for processing protected plants *page 2-8-1*
- FIGURE 2-8-2: Overview of steps for validating and endorsing documents for protected plants other than American ginseng *page 2-8-3*
- FIGURE 2-8-3: Example of deletion on inventory sheet *page 2-8-14*
- FIGURE 2-8-4: Overview of steps for validating and endorsing documents for American ginseng *page 2-8-16*
- FIGURE 2-8-5: Examples of the American Ginseng Export Report and the State American Ginseng Export Certificate *page 2-8-22*
- FIGURE 2-8-6: Overview of steps for processing violations of ESA and CITES *page 2-8-29*
- FIGURE 2-8-7: Example of numbering configuration used in filing systems for violations *page 2-8-30*
- FIGURE A-1-1: Overview of tasks for collecting user fees *page A-1-2*
- FIGURE A-1-2: Example of transaction codes *page A-1-11*

- FIGURE A-1-3: Example of transaction codes *page A-1-15*
- FIGURE A-1-4: Example of fees for pre purchased certificates *page A-1-21*
- FIGURE A-1-5: Sample of an Export Certificate Record (APHIS Form 80-R) *page A-1-24*
- FIGURE A-1-6: Sample of a Record of Public Funds Received (APHIS Form 94) *page A-1-25*
- FIGURE A-1-7: Sample of Transmittal and Receipt for Accountable Items (APHIS Form 47) *page A-1-26*
- FIGURE A-1-8: Sample of Monthly Summary of Export Certificates Issued (Front) (PPQ Form 575) *page A-1-27*
- FIGURE A-1-9: Sample of Monthly Summary of Export Certificates Issued (Back) (PPQ Form 575) *page A-1-28*
- FIGURE C-1-1: Sample of an Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572) *page C-1-3*
- FIGURE D-1-1: Sample of Certificate of Quality and Condition (Form FV 146) *page D-1-3*
- FIGURE D-1-2: Sample of Certificate of Quality and Condition (Form FV 147) *page D-1-4*
- FIGURE D-1-3: Sample of Certificate of Quality and Condition (Form FV 149) *page D-1-5*
- FIGURE D-1-4: Sample of a Report on Sanitary Inspection (Form FV 294) *page D-1-6*
- FIGURE D-1-5: Sample of an Official Grain Inspection Certificate, Official Sample - Lot Inspection (Form FGIS-905-1) *page D-1-7*
- FIGURE D-1-6: Sample of an Official Grain Inspection Certificate (Form FGIS-909) *page D-1-8*
- FIGURE D-1-7: Sample of an Official Export Grain Inspection Certificate (Form FGIS-909-1) *page D-1-9*
- FIGURE D-1-8: Sample of an Official Export Grain Inspection Certificate having blanks for rating quality factors (Form FGIS-909-2) *page D-1-10*
- FIGURE D-1-9: Sample of a Bean Inspection Certificate (Form FGIS-912) *page D-1-11*
- FIGURE D-1-10: Sample of a Pea or Lentil Inspection Certificate (Form FGIS-953) *page D-1-11*
- FIGURE D-1-11: Sample of a Commodity Inspection Certificate (Form FGIS-993) *page D-1-12*
- FIGURE D-1-12: Sample of an Inspection Report - Insects in Grain (Form FGIS-921-2) *page D-1-13*
- FIGURE D-1-13: Sample of a Rice Inspection Services Certificate (Form FGIS-956) *page D-1-14*
- FIGURE D-1-14: Sample of an Official Certificate, Warehouseman's Sample - Lot Inspection (Form IN-415) *page D-1-15*
- FIGURE D-1-15: Sample of an Official Certificate, Submitted Sample Inspection (Form FGIS-914) *page D-1-16*
- FIGURE D-1-16: Sample of an Official Stowage Examination Certificate (Form FGIS-915) *page D-1-17*

- FIGURE D-1-17: Sample of an Official Certificate (Form FGIS-916) *page D-1-18*
- FIGURE D-1-18: Example of a Commodity Inspection Certificate (Form FGIS-994) *page D-1-19*
- FIGURE D-1-1: Example of a Commodity Inspection Certificate (Form AMS FV-184) *page D-1-20*
- FIGURE E-1-1: Example of a USDA General Permit (General Permit, PPQ Form 622) issued for all commercial exports and reexports of protected plants *page E-1-2*
- FIGURE E-1-2: Example of an Division of Management Authority (DMA) permit issued under the authority of ESA for Endangered and/or Threatened Species (Form 3-201) *page E-1-4*
- FIGURE E-1-3: Example of an Division of Management Authority (DMA) permit issued under the authority of ESA for Threatened Species (Form 3-201) *page E-1-6*
- FIGURE E-1-4: Sample of an DMA multipurpose form for CITES permits and certificates (Form 3-201A) *page E-1-8*
- FIGURE E-1-5: Example of an DMA issued Certificate for Artificially Propagated Plants (Form 3-201A) *page E-1-10*
- FIGURE E-1-6: Example of an DMA issued export permit to authorize the movement of CITES protected articles (Form 3-201A) *page E-1-12*
- FIGURE E-1-7: Example of an DMA issued Certificate to authorize the movement of artificially propagated CITES plants (Form 3-201A) *page E-1-14*
- FIGURE E-1-8: Example of an endorsed DMA issued CITES document to authorize the movement of CITES protected articles (Form 3-201A) *page E-1-15*
- FIGURE E-1-9: Example of an endorsed export permit for CITES protected flora (Form 3-201A) *page E-1-17*
- FIGURE E-1-10: Example of a Certificate for artificially propagated plants (Form 3-201A) *page E-1-19*
- FIGURE E-1-11: Example of an endorsed continuation sheet to accompany CITES documents (FFW Permit) *page E-1-21*
- FIGURE E-1-12: Example of an endorsed inventory sheet to accompany CITES documents (FFW document) *page E-1-23*
- FIGURE E-1-13: Example of an endorsed DMA export report listing the special conditions for the export of wild ginseng (front) (FFW document) *page E-1-24*
- FIGURE E-1-14: Example of an endorsed DMA export report listing the special conditions for the export of cultivated ginseng (front) (FFW document) *page E-1-26*
- FIGURE E-1-15: Sample of a State certificate of origin for the export of wild ginseng (State issued certificate) *page E-1-27*
- FIGURE F-1-1: Example of a Memorandum of Understanding for the Cooperative Federal-State Phytosanitary Export Certification Program *page F-1-5*
- FIGURE F-1-2: List of States with active Memorandums of Understanding (MOU's) *page F-1-9*

List of Figures:

- FIGURE G-1-1 Example of the MOU for The Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Moving to European Union (EU) Countries *page G-1-6*
- FIGURE G-1-2: Sample of a certificate for Heat Treatment Certification Using a Kiln Facility *page G-1-8*
- FIGURE G-1-3: Example of the MOU for kiln dried coniferous sawn wood *page G-1-12*
- FIGURE G-1-4: Sample of a Mill Certificate of Kiln Drying *page G-1-14*
- FIGURE G-1-5 Example of the MOU for Debarking and Grub Hole Control of Coniferous Sawn Wood *page G-1-18*
- FIGURE G-1-6: Sample of a Mill Certificate of Kiln Drying *page G-1-21*
- FIGURE G-1-7: Sample of a Certificate of Debarking and Grub Hole Control *page G-1-22*
- FIGURE G-1-8: Sample of a Biannual Audit Checklist for the Wood Mill Certification Programs *page G-1-23*
- FIGURE H-1-1: Example of a completed Compliance Agreement (PPQ Form 519) *page H-1-3*
- FIGURE H-1-2: Example of a Commodity Treatment Compliance Agreement (PPQ Form 182) *page H-1-4*
- FIGURE N-1-1: Sample of Official Warning, Violation of Federal Regulations (APHIS Form 7060) *page N-1-4*
- FIGURE O-1-1: Sample Compliance Agreement - Florida *page O-1-9*
- FIGURE O-1-2: Sample of an export certification label *page O-1-11*

List of Tables

TABLE 1-6-1	:Contacts for Assistance on Export Certification <i>page 1-6-2</i>
TABLE 2-2-1	:Plants or Plant Products That Are Eligible or Ineligible for Certification <i>page 2-2-3</i>
TABLE 2-2-2	:Determining Eligibility for Certification Based on Origin and Destination <i>page 2-2-4</i>
TABLE 2-2-3	:Determining if Plants or Plant Products Can Be Certified Based on ESA and CITES <i>page 2-2-6</i>
TABLE 2-2-4	:Determining Authority to Certify Protected Plants or Plant Products for Export <i>page 2-2-7</i>
TABLE 2-3-1	:Responding to EXCERPT System Failures <i>page 2-3-3</i>
TABLE 2-3-2	:Responding to EXCERPT Information <i>page 2-3-3</i>
TABLE 2-3-3	:Determining if a Plant or Plant Product Is Prohibited <i>page 2-3-4</i>
TABLE 2-3-4	:Regulating Prohibited Plants or Plant Products With Import Permit (IP) Requirements <i>page 2-3-4</i>
TABLE 2-3-5	:Regulating Non prohibited [Restricted] Plants or Plant Products With Import Permit (IP) Requirements <i>page 2-3-6</i>
TABLE 2-3-6	:Regulating Plants or Plant Products Without Import Permit (IP) Requirements <i>page 2-3-7</i>
TABLE 2-3-7	:Regulating Plants or Plant Products Conditionally Prohibited From Specific Areas That Are Infested With a Pest Usually Associated With the Host <i>page 2-3-7</i>
TABLE 2-3-8	:Regulating Plants or Plant Products That Require a Growing Season Inspection <i>page 2-3-8</i>
TABLE 2-3-9	:Regulating Plants or Plant Products That May Enter the Foreign Country Only During Specific Times During the Year <i>page 2-3-8</i>
TABLE 2-3-10	:Regulating Plants or Plant Products That Require Treatment in the Country of Origin as a Condition of Entry <i>page 2-3-9</i>
TABLE 2-3-11	:Regulating Treated Plants or Plant Products That Do Not Require Treatment in the Country of Origin as a Condition of Entry <i>page 2-3-10</i>
TABLE 2-3-12	:Regulating Plants or Plant Products That Must Comply With an Additional Declaration (AD) or an Official Verification (OV) <i>page 2-3-11</i>

List of Tables:

TABLE 2-3-13	:Regulating Plants or Plant Products That Are Limited to Enter Ports Specified by the Foreign Country <i>page 2-3-12</i>
TABLE 2-3-14	:Regulating Plants or Plant Products That Must Meet Phytosanitary Requirements as a Condition of Entry <i>page 2-3-13</i>
TABLE 2-4-1	:Acceptable inspectional certificates <i>page 2-4-3</i>
TABLE 2-4-2	:Regulating Previously Inspected Plants or Plant Products <i>page 2-4-5</i>
TABLE 2-4-3	:Regulating Plants or Plant Products That May Require a Laboratory Examination <i>page 2-4-5</i>
TABLE 2-4-4	:Regulating Plants or Plant Products That Require a Laboratory Examination <i>page 2-4-6</i>
TABLE 2-4-5	:Time Limits Between Inspection or Date of Issue and Shipping Date <i>page 2-4-7</i>
TABLE 2-4-6	:Determining Sample Size <i>page 2-4-9</i>
TABLE 2-4-7	:Verifying That Plants or Plant Products Agree With Supporting Documents <i>page 2-4-10</i>
TABLE 2-4-8	:Regulating Plants or Plant Products That May Have Pests <i>page 2-4-11</i>
TABLE 2-4-9	:Identifying Plant Pests <i>page 2-4-12</i>
TABLE 2-4-10	:Regulating Plants and Plant Products That Have Quarantine Significant Pests <i>page 2-4-13</i>
TABLE 2-4-11	:Regulating Plants and Plant Products When a Treatment for Pests May Be Considered <i>page 2-4-13</i>
TABLE 2-4-12	:Regulating Plants or Plant Products That Have Unauthorized Packing Material <i>page 2-4-14</i>
TABLE 2-4-13	:Recording Results of Inspection <i>page 2-4-15</i>
TABLE 2-4-14	:Completing Certification Forms <i>page 2-4-15</i>
TABLE 2-5-1	:Distributing Phytosanitary Certificate (FPC), PPQ Form 577 <i>page 2-5-15</i>
TABLE 2-6-1	:Regulating Reexport Shipments Based on Entry Status <i>page 2-6-3</i>
TABLE 2-6-2	:Regulating Reexport Shipments Based on Import Requirements <i>page 2-6-3</i>
TABLE 2-6-3	:Regulating Reexport Shipments Based on Segregation and Safeguarding <i>page 2-6-4</i>
TABLE 2-6-4	:Regulating Reexport Shipments Based on Visual Inspection <i>page 2-6-4</i>
TABLE 2-6-5	:Determining the Entry for the Phytosanitary Certificate <i>page 2-6-7</i>
TABLE 2-6-6	:Determining the Entry for the Additional Declaration <i>page 2-6-8</i>

TABLE 2-6-7	:Distributing the Phytosanitary Certificate for Reexport, PPQ Form 579 <i>page 2-6-9</i>
TABLE 2-7-1	:Distributing Export Certificate, Processed Plant Products, PPQ Form 578 <i>page 2-7-7</i>
TABLE 2-8-1	:Determining if an Export Is Commercial ¹ <i>page 2-8-4</i>
TABLE 2-8-2	:Determining What Permits, Certificates, and Other Documents Must Accompany the Export <i>page 2-8-5</i>
TABLE 2-8-3	:Determining What Documents Must Accompany the Export of Commercial Shipments of CITES Protected Plants <i>page 2-8-5</i>
TABLE 2-8-4	:Determining What Documents Must Accompany the Export of Noncommercial Shipments of CITES Protected Plants <i>page 2-8-6</i>
TABLE 2-8-5	:Determining What Documents Must Accompany the Export of ESA Protected Plants <i>page 2-8-7</i>
TABLE 2-8-6	:Determining What Documents Must Accompany the Export of Commercial Shipments of Plants Protected Both by CITES and ESA <i>page 2-8-8</i>
TABLE 2-8-7	:Determining What Documents Must Accompany the Noncommercial Shipment of Plants Protected Both by CITES and ESA <i>page 2-8-9</i>
TABLE 2-8-8	:Allowing the Exporter the Opportunity to Supply Any Missing Documents When Appropriate <i>page 2-8-10</i>
TABLE 2-8-9	:Finding the Expiration Date <i>page 2-8-11</i>
TABLE 2-8-10	:Approved Signatures <i>page 2-8-11</i>
TABLE 2-8-11	:Verifying the Quantity of Plants <i>page 2-8-12</i>
TABLE 2-8-12	:Verifying the Authorization of Shipments <i>page 2-8-13</i>
TABLE 2-8-13	:Endorsing Documents <i>page 2-8-15</i>
TABLE 2-8-14	:Identifying Ginseng That Is Regulated by CITES <i>page 2-8-17</i>
TABLE 2-8-15	:Determining Whether a Shipment Is Commercial or Noncommercial <i>page 2-8-18</i>
TABLE 2-8-16	:Determining the Documentation Requirements <i>page 2-8-19</i>
TABLE 2-8-17	:Determining the Required Documentation for the Export of American Ginseng Collected From the Wild <i>page 2-8-19</i>
TABLE 2-8-18	:Determining the Required Documentation for the Export of American Ginseng Collected From Cultivated Plants <i>page 2-8-20</i>
TABLE 2-8-19	:Determining the Required Documentation for the Reexport of American Ginseng <i>page 2-8-20</i>

List of Tables:

TABLE 2-8-20	:Allowing the Exporter the Opportunity to Supply Missing Documentation <i>page 2-8-21</i>
TABLE 2-8-21	:Verifying Documentation to Be Current <i>page 2-8-23</i>
TABLE 2-8-22	:Verifying Documentation to Be Authentic <i>page 2-8-24</i>
TABLE 2-8-23	:Verifying the Quantity of Plants <i>page 2-8-25</i>
TABLE 2-8-24	:Determining Whether American Ginseng Is Wild or Cultivated <i>page 2-8-26</i>
TABLE 2-8-25	:Regulating the Shipment of American Ginseng <i>page 2-8-26</i>
TABLE 2-8-26	:Endorsing the CITES Permit or Certificate and the DMA Export Report <i>page 2-8-27</i>
TABLE 2-8-27	:Confirming That the Violation Warrants Prosecution <i>page 2-8-30</i>
TABLE 2-8-28	:Regulating Seized Material <i>page 2-8-30</i>
TABLE 2-8-29	:Regulating Seized Material Valued at \$10,000 or Less <i>page 2-8-33</i>
TABLE A-1-1	:Determining How to Charge for Certificates <i>page A-1-3</i>
TABLE A-1-2	:Processing Certificates Issued on Noncontagious, Reimbursable Overtime <i>page A-1-4</i>
TABLE A-1-3	:Setting Certificate Fees <i>page A-1-5</i>
TABLE A-1-4	: Where to Document the Amount Due <i>page A-1-6</i>
TABLE A-1-5	:Documenting Your Action for Prepaid Certificates <i>page A-1-7</i>
TABLE A-1-6	:Documenting Your Action for Presented Certificates That Are Not Prepaid <i>page A-1-8</i>
TABLE A-1-7	:Actions for Errors Made by PPQ <i>page A-1-13</i>
TABLE A-1-8	:Directions for Charging for Reissued Certificates <i>page A-1-14</i>
TABLE A-1-9	:Charging for splitting up certificates <i>page A-1-15</i>
TABLE A-1-10	:Quick Reference for Applying User Fees - Reissued Certificates <i>page A-1-29</i>
TABLE A-1-11	:Quick Reference for Applying User Fees - Initial Certificates <i>page A-1-30</i>
TABLE G-1-1	:Lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for heat treatment of coniferous sawn wood. <i>page G-1-4</i>
TABLE G-1-2	:Lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for Kiln Drying <i>page G-1-11</i>
TABLE G-1-3	:Lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for Kiln Drying, Debarking and Grub Hole Control <i>page G-1-17</i>

TABLE M-1-1	:Emergency Response List	page M-1-4
TABLE P-1-1	:Tolerances for Generation 2	page P-1-7
TABLE P-1-2	:Tolerances for Generation 3	page P-1-7
TABLE P-1-3	:Tolerances for Generation 4	page P-1-8
TABLE P-1-4	:Tolerances for Generation 5	page P-1-8

List of Tables:



Introduction

Purpose

Contents

Basic Policy	page-1-1-1
Domestic Products	page-1-1-2
Processed Products	page-1-1-2
Foreign Products	page-1-1-2
Prohibited Products	page-1-1-3

The Export Certification Manual (ECM) is a reference to be used when inspecting and certifying plants and plant products offered for export and when issuing export certificates.

Basic Policy

The United States does not require phytosanitary export certification but provides this service for eligible plants and plant products, if requested. Plant Protection and Quarantine (PPQ) is the unit within the Animal and Plant Health Inspection Service (APHIS) that serves to assist exporters in meeting the plant quarantine import requirements of foreign countries. As part of this service, PPQ's responsibility includes the following:

- ◆ Maintain current information on the plant quarantine import requirements of foreign countries
- ◆ Analyze the information, prepare summaries of the import requirements based on the information, and make the summaries available to Federal, State, and county Authorized Certification Officials (ACO's); and other interested parties
- ◆ Inspect domestic plants and plant products offered for export
- ◆ Certify those shipments that meet the import requirements of the foreign country
- ◆ Monitor the issuance of export certificates to ensure their accuracy
- ◆ When possible, assist U.S. exporters if their **certified** shipments are held at destination, and advise U.S. exporters with shipments that are not certified
- ◆ Assist in certifying plants or plant products of foreign origin that have been legally imported into the United States and are being reexported

- ◆ Monitor other program activities to ensure credibility of the Export Certification Program
- ◆ Ensure that only authorized inspectors or certification officials inspect and certify the phytosanitary conditions of plants and plant products offered for export

Domestic Products

Domestic products are those plants and unprocessed or unmanufactured plant products grown or produced in the United States, its possessions, and the Commonwealth of Puerto Rico. Federal Phytosanitary Certificates (FPC's), PPQ Form 577, are authorized for domestic plants and plant products.

Processed Products

Processed products are plant products processed or manufactured to the degree that they are unlikely to harbor injurious pests. Processed products are **not** eligible for certification with the Phytosanitary Certificate (FPC), PPQ Form 577 or PPQ Form 579, even when the importing country specifically requires a Phytosanitary Certificate; however, the Export Certificate, Processed Plant Products (PPC), PPQ Form 578, may be issued **for only those processed products that are specified in EXCERPT** as eligible for PPQ Form 578. The intended purpose of the PPC is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is not issued. The PPC, PPQ Form 578, and the FPC, PPQ Form 577, must not be issued for products that are strictly specified in EXCERPT as ineligible processed products.

Foreign Products

Foreign products are plants and plant products that have **officially entered** U.S. commerce but were grown or produced in countries other than the United States, its possessions, and the Commonwealth of Puerto Rico. Foreign products are not eligible for an FPC but may be certified for reexport with PPQ Form 579.

Reexport certification can be based on a combination of the following:

- ◆ An original phytosanitary certificate from the country of origin
- ◆ Plants or plant products being segregated and their identity is maintained while kept under suitable safeguards to prevent the risk of infestation or infection while in the United States
- ◆ An additional inspection or test

Also, the foreign products should meet the import requirements of the importing country. Foreign products that are prohibited entry by the importing country cannot be certified for reexport. However, foreign products that apparently do not meet the import requirements of the importing country (e.g., growing season inspection, virus indexing, freedom from specified pests at the production area, etc.) may be certified for reexport even though the requirements are not stated on the phytosanitary certificate issued by the country of origin.¹ In such cases, final judgment of enterability will be the responsibility of the importing country. An additional declaration may be placed on the reexport certificate to indicate that the shipment met the entry requirements of the United States or that the United States does not require phytosanitary certification for the entry of the products. See EXCERPT for individual country requirements).

Transiting Foreign Products:

Foreign products that are **transiting** the United States under Customs' bond are **not** eligible for reexport certification, or processed product certification.

Prohibited Products

Plants and unprocessed or unmanufactured plant products listed in an export summary as being prohibited entry by the importing country are ineligible for phytosanitary certification, unless an import permit or other special authorization is provided from the plant protection service of the importing country.

1 EXCEPTIONS: Do not issue a reexport certificate for foreign products to Brazil or Columbia if the foreign products do not meet these countries' specified requirements. If a phytosanitary certificate issued by the country of origin is not available, or the phytosanitary certificate issued by the country of origin does not state Brazil or Columbia's requirements for growing season inspection, virus indexing, freedom from specified pests at the production area, etc., do not issue the reexport certificate. It is acceptable to issue a reexport certificate if additional testing or treatment is required, and the testing or treatment is done in the United States. In this case, document the testing or treatment on the reexport certificate.

Currently, only Brazil and Columbia have requested that reexport certificates not be issued unless the foreign product meets their specified requirements. If additional countries notify APHIS with this request, that information will become part of that country's summary in EXCERPT, and will be found in General Information/Definition of Terms/Reexport Certificate.



Introduction

Scope

Contents

[What Is Covered](#) [page-1-2-1](#)

[What Is Not Covered](#) [page-1-2-2](#)

What Is Covered

The ECM covers information about PPQ's EXCERPT, and provides the methods and procedures for certifying plants and plant products offered for export.

The manual supplements EXCERPT, an electronic data base that provides current information on the plant import requirements of foreign countries.

This manual is broadly divided into five major tabbed sections:

- ◆ Introduction
- ◆ Methods and Procedures
- ◆ Glossary
- ◆ Appendixes
- ◆ Index

The Introduction provides basic information about the ECM and EXCERPT. The information includes the basic policy about the project and training, what is covered in the ECM, its users, how to use it, related documents, and the protocol for reporting problems and asking questions.

The Methods and Procedures provide general guidelines for certifying plants and plant products offered for export. The guidelines include deciding to certify, determining import requirements, inspecting the plants or plant products, and preparing export certificates.

The Appendixes list information, such as Contact Point Officers, inspection certificates, charging user fees, certificates for protected plants, and Phytosanitary Notes. The Appendixes also provide information about the Federal/State cooperative program, mill certification programs, compliance agreements for cotton compresses and warehouses, memorandums of understanding, approved country names, emergency response procedures, and certification violations.

The Glossary defines specialized words, abbreviations, acronyms, and other terms used to certify plants and plant products for export.

What Is Not Covered

Not covered in the ECM are procedures for using EXCERPT or PCIT (Phytosanitary Certificate Issuance Tracking System)



Introduction

Users and Responsibilities

Contents

Primary Users	page-1-3-1
Secondary Users	page-1-3-1
Experience	page-1-3-1
Responsibilities	page-1-3-1

Primary Users

The ECM is used primarily by Authorized Certification Officials (ACO's) who are responsible for inspecting and certifying plants and plant products and issuing export certificates.

Secondary Users

Other users of the ECM may include Contact Point Officers, supervisors (State plant health directors, regional program managers, port directors, State plant regulatory officials), and members of the plant industry.

Experience

The experience of users will vary, but Authorized Certification Officials (ACO's) must have a working knowledge of the following:

- ◆ PPQ Treatment Manual
- ◆ EXCERPT

Responsibilities

Responsibilities of the Authorized Certification Official (ACO), exporter, and Contact Point Officer (CPO) are detailed below:

Authorized Certification Official (ACO) (PPQ Officer, or State or County Cooperator) Responsibilities:

1. Determine the import requirements of a foreign country for plants or plant products, and then determine whether the products meet the requirements. The Authorized Certification Official (ACO) should examine an import permit or special

authorization, and review the export summary. The Authorized Certification Official (ACO) is not to issue an export certificate for prohibited material unless an import permit or special authorization from the plant protection service of the foreign country is presented. When a product is not eligible for certification or fails inspection, provide the exporter with the information necessary to meet the importing country's requirements.

2. Inspect the plants and plant products before issuing an export certificate to determine that the material meets the import requirements.
3. Advise exporters that they must export plants and plant products within prescribed time limits following inspection. Those time limits are usually specified in the country's export summary. If a time limit is **not** specified in the summary, then the general time limit for certification and exportation is within 30 days after inspection.



Do not issue an export certificate if the time limit has exceeded. Use a bill of lading to identify if the plants or plant products have been inspected and are being shipped within the established time limit. (For specific time limits, see Table 2.4.5 and Table 2.4.6 in the Methods and Procedures Section, General Inspectional Guidelines.

4. Supervise or verify the application of any treatment to prepare the plants or plant products for export.
5. Verify that the contents of the shipment are what has been documented on the export certificate. The Authorized Certification Official (ACO) should compare the export certificate with any supporting documents such as inspection certificates, State certificates, or other agency reports that may help to verify the accuracy of the contents of the shipment and the export certificate.
6. Advise exporters, brokers, and other interested parties as to the status of the shipment. When samples are drawn for laboratory examination or when delays in certifying the shipment occur, the Authorized Certification Official (ACO) should let the exporter or the shipping company know so that the shipment isn't inadvertently loaded before the completion of inspection and certification. Once the inspection is completed and the export certificate issued, the Authorized Certification Official (ACO) immediately should notify the exporter or the shipping company that loading can begin.
7. Prepare export certificates. Some foreign countries will not accept certificates with alterations, errors, or erasures. Unacceptable export certificates will result in shipments being rejected, destroyed, or delayed in release.

Never make corrections to the following areas on the certificate that identify:

- ❖ Name and quantity of plants or plant products
- ❖ Botanical name of plants
- ❖ Number and description of packages
- ❖ Distinguishing marks
- ❖ Additional declaration

If permitted by the foreign country, you may correct minor errors in the other areas of the certificate. Write your initials by the correction(s). Never delete entire entries or use opaque correction fluid. Certificates must be completed in English and legibly handwritten or typed.

8. Forward the record copy of the export certificate to your Contact Point Officer (CPO) no later than seven days after certification. Attach copies of Import Permits (IP's) and any other documents used for the certification of each shipment.
9. Conduct the inspection and certification of plants and plant products at locations normally traveled to in connection with other work assignments and during normal duty hours. Discretion should be used when assigning Authorized Certification Officials (ACO's) to phytosanitary export inspections that involve a significant amount of travel time. When requests for services at remote locations occur, all alternative methods of certification should be explored before PPQ work hours are committed.

Exporter (or Shipper) Responsibilities:

1. Apply for the inspection and certification of each shipment that the shipper wants certified. Certificates can be issued at the point of origin, at a port where the shipment will transit, or at the actual port of export. The application must be in writing and received far enough in advance of the shipping or loading dates to provide for sampling and inspecting. (See [Appendix C](#), "Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572)" on [page-C-1-1](#); also, see [Table 2-4-5](#), "Time Limits Between Inspection or Date of Issue and Shipping Date," on [page-2-4-7](#))
2. Make the shipment available for inspection. Shipments cannot be inspected on board aircraft or ships, or in the holds of vessels. The plants or plant products must be accessible to the Authorized Certification Official (ACO) so that the official can verify and inspect the material described on the application or certificate. In addition, dock papers or other shipping documents

should be marked or stamped to prevent the shipment from being loaded before the inspection is conducted. The exporter is further responsible for providing the labor to open and close packages for inspection and for providing adequate facilities to perform the inspection. Such facilities include supplies, equipment, and proper lighting required for an efficient inspection before certification.

3. Provide for any required treatments, reconditioning, or other actions to meet the import requirements of the foreign country.
4. Export only those plants or plant products that have been properly inspected and certified.
5. Safeguard the certified shipment from infestation between the date the shipment was certified and the actual shipping date.
6. Comply with U.S. export control regulations. Although no special license is required to engage in export trade, the Federal Government controls the exportation of U.S. goods to all foreign countries. The Department of Commerce is the authority for licensing most items for export. Other Federal agencies such as the Agricultural Marketing Service (AMS) and the Federal Grain Inspection Service (FGIS) handle the certification for specific products. For further information, exporters should contact the Office of Export Control, Bureau of International Commerce, Department of Commerce, Washington, DC 20230.

Contact Point Officer (CPO) Responsibilities:

There are designated contact points in each region. At each contact point a key person, the CPO, is responsible for ensuring the quality and credibility of the export certification program. A GS-11 inspector may act as backup for the CPO when assigned export responsibilities. Assigning backup CPO's is an excellent opportunity to get GS-9's or above involved in export activities and relieve the heavy workload of the designated CPO's. In addition, Authorized Certification Officials (ACO's) who want to learn the export program should also be allowed to participate to gain experience for future advancement. As a part of their duties, CPO's are responsible for the following:

1. Review, on a monthly basis, an appropriate number of the Federal Phytosanitary Certificates (FPC's) issued by Authorized Certification Officials (ACO's) for compliance with established policy and foreign import requirements. At a minimum, this review could be in the range of 5 to 10 percent of the total certificates issued for that month. Also, provide the results and give feedback to the issuing office, SPHD and ACO when mistakes are found.

Use the following as guidelines when reviewing State or county issued FPC's:

- ❖ The CPO should instruct the supervisor of the State or county office to review their work unit's FPC yellow copies weekly before sending them to the CPO office. Supervisors should make notes of any major mistakes and document any corrective action taken. This may be written on the FPC yellow copy.
- ❖ The CPO should review 5 to 10 percent of the FPC yellow copies each month. If a particular State or county office has a high number of mistakes, a more intensive review may be necessary.
- ❖ The CPO should keep a log of major mistakes encountered and any corrective action taken. This information can be used as a valuable training tool during certification workshops and refresher training.
- ❖ Major mistakes on FPC's include but are not limited to the following:
 - certifying a prohibited or ineligible product
 - failure to follow an established workplan—failure to follow conditions prescribed in import permits
 - certifying fruit from nonapproved field or treatment facilities
 - failure to inspect a shipment or follow established inspectional procedures
 - missing or incorrect AD's, e.g., adding AD's when not requested by the import permit (IP) or EXCERPT
 - certifying CITES materials at an ineligible port

These mistakes should be documented by the CPO and routed through the State Plant Health Director (SPHD) to the State plant regulatory official (SPRO) who has Statewide responsibility for the export certification program. The SPRO will pass this information on to the Authorized Certification Official (ACO) who made the mistake or their supervisor. (See [Figure 1-3-1](#) for a sample of this documentation.) If errors continue, retraining or loss of certification as a cooperator in the export program should be considered. If three major mistakes are made in one calendar year, it is PPQ's policy to require mandatory retraining. If the mistakes are deliberate, continuous, or jeopardize the export certification program, then the individual's certification should be revoked (contact Export Services if this action is considered).

To: _____ Date: _____
(insert name of State/County regulatory official)

Recently _____ certified _____ to _____
(insert name of Authorized Certification Official (ACO)) (name of product) (name of country)

on Phytosanitary Certificate # _____ (attached). This FPC has/
has not been reported as rejected by the importing country. The error(s) is/
are as noted below:

- 1 Failed to sign the FPC.
- 2 Certified a prohibited product.
- 3 Failed to follow an established work plan.
- 4 Failed to consult Phytosanitary Notes or other export job aids.
- 5 Failed to compare the validated FPC with the Import Permit.
- 6 Certified fruit from a non-approved field or treatment facility; or failed to include treatment marks on boxes or FPC.
- 7 Issued an improper certificate that resulted in the shipment being rejected by the importing country.
- 8 Failed to follow established inspectional procedures; fruit rejected for quarantine pests.
- 9 Other:

Our records indicate that this is the Authorized Certification Official (ACO)'s _____ warning this past year. Future errors could result in the suspension of the official's certification which allows them to issue Federal Phytosanitary Certificates. Please forward to my office a letter explaining the error(s) and what corrective actions will be taken. This notice is intended as a corrective action to ensure the integrity of the program.

If you have any questions, feel free to contact me at telephone number _____.

_____, Contact Point Officer
(Signature of Contact Point Officer)

FIGURE 1-3-1: Sample of documented errors found on a Federal Phytosanitary Certificate (FPC)

- ❖ Occasional mistakes such as the following can be noted without formal documentation:
 - misspellings
 - blanks
 - missing dates
 - failure to sign documents
 - incorrect country titles
 - unclear abbreviations

- incorrect lining out
- ❖ When the CPO feels an issue is going to reach the regional office, the CPO should notify the program manager, who is also the regional contact for the export certification program. The CPO should document the issue by sending a copy of the FPC in question, plus any backup documents, and a short note of explanation.
- ❖ Yellow copies of the FPC's may be destroyed by the CPO after the review process is complete, or the yellow copy may be retained for training material. If the yellow copy is used for training material, always protect the confidentiality of the information. Shredding or burning is appropriate for destroying yellow copies of the FPC. Recycling may be appropriate if you are assured that the confidentiality of the information is maintained. If information is needed on this certificate at a later date, the issuing office can provide a copy of their blue office copy.



The blue file copy is the responsibility of the issuing office. The blue file copy of the FPC should be stored at the issuing office for a minimum of 3 years. It is then archived (stored locally if space is available) for an additional 8 years, then destroyed. Shredding or burning is appropriate for destroying the blue copies of the FPC. Recycling may be appropriate if you are assured that the confidentiality of the information is maintained. (Refer to the user fee section of the export certification manual for further information.)

The Phytosanitary Certificate Issuance Tracking System (PCIT) does not produce color copies. Paper file copies must be maintained following the existing records retention policy for APHIS.

Use the following as guidelines when reviewing Federal issued FPC's:

- ❖ The issuing office supervisor should review the yellow copies of the FPC weekly before sending them to the CPO. Supervisors should make notes of any major mistakes and document any corrective action taken. This may be written on the FPC yellow copy.
- ❖ The CPO should review 5 to 10 percent of the FPC yellow copies each month. If a particular office has a high number of mistakes, a more intensive review may be necessary.
- ❖ When major mistakes are noted, the CPO should discuss the issue with the officer and their supervisor. For repeat mistakes, remedial training may be necessary. If so, work out the procedures and document this action on a training form.

If the officer makes numerous errors, the supervisor should consider not allowing the officer to issue certificates without supervision.

- ❖ Yellow copies of the FPC's may be destroyed by the CPO after the review process is complete, or the yellow copy may be retained for training material. If the yellow copy is used for training material, always protect the confidentiality of the information. Shredding or burning is appropriate for destroying yellow copies of the FPC. Recycling may be appropriate if you are assured that the confidentiality of the information is maintained. If information is needed on this certificate at a later date, the issuing office can provide a copy of their blue office copy.



The blue file copy is the responsibility of the issuing office. The blue file copy of the FPC should be stored at the issuing office for a minimum of 3 years. It is then archived (stored locally if space is available) for an additional 8 years, then destroyed. Shredding or burning is appropriate for destroying blue copies of the FPC. Recycling may be appropriate if you are assured that the confidentiality of the information is maintained. (Refer [“Fees and Costs” on page A-1-1](#), of this manual for further information.)

Phytosanitary Certificate Issuance Tracking System (PCIT) does not produce color copies. Paper file copies must be maintained following existing records retention policy.

2. Inform Export Services (ES) of the following situations:

- ❖ Where permit requirements are different from summary requirements. For example, when the exporter presents import requirements that differ from those in the summary, the exporter must provide the Authorized Certification Official (ACO) with official documents stating the requirements. The documents may be import permits (IP's), special authorizations, or recent correspondence from the plant protection service of the foreign country. (These new requirements should be brought to the attention of ES.)



An official document from the plant protection service of the foreign country takes precedence over the information contained in the summary.

- ❖ Where an issue may cause embarrassment or financial liability to the USDA or its employees.
- ❖ Where an issue may cause financial loss to the shipper or industry.
- ❖ Where an issue may damage the credibility of the phytosanitary certification program.

- 3.** Serve as liaison between the field and ES by maintaining an active relationship with PPQ officers, other CPO's and Authorized Certification Officials (ACO's) in export certification matters.
- 4.** Determine the need and arrange for the initial or refresher training for PPQ and State/county personnel. Refresher training consists of the following:
 - ❖ A review of summary requirements
 - ❖ An update on changes of policy and procedures
 - ❖ An update and discussion concerning inspectional guidelines
 - ❖ Discussions between participants regarding local problems and situations
 - ❖ A summary of mistakes found when reviewing certificates from the issuing office
- 5.** Ensure that an effective accountability system is established for the FPC's.
- 6.** Participate in an export certification workshop conducted by ES once every 3 years with interim sessions if necessary.
- 7.** Screen and forward a list of State cooperator nominees, along with their qualifications to ES. (See [Appendix F, Cooperative Federal-State Phytosanitary Export Certification Program](#))
- 8.** Maintain a record of designated State cooperators, and notify ES of those who retire or otherwise are separated from State employment.
- 9.** Maintain a current copy of Memorandum(s) of Understanding, and review with State cooperators as circumstances warrant (e.g., change in personnel).
- 10.** Maintain up-to-date manuals and associated materials.



Introduction

Related Documents

Contents

Enabling Legislation [page-1-4-1](#)

Endangered Species Legislation [page-1-4-1](#)

Regulations [page-1-4-3](#)

The following listed legislation and regulations relate to the ECM.

Enabling Legislation

Foreign countries have established plant quarantine regulations which exporters of U.S. agricultural products are required to meet. To enable PPQ to help exporters meet the plant quarantine import requirements of foreign countries, the Plant Protection Act passed in 2000 (previously covered by the Organic Act of 1944). The Plant Protection Act provides the authority for issuing FPC's for the export of plants and plant products. The regulation for enforcing the Plant Protection Act is 7CFR Part 353.

Endangered Species Legislation

The legislation and a treaty that protect endangered species of plants offered for export are The Endangered Species Act (ESA) and The Convention on the International Trade in Endangered Species of Wild Fauna and Flora (CITES). The regulations for enforcing ESA and CITES are 50CFR Parts 17 and 23; and 7CFR Parts 355 and 356.

ESA:

ESA provides for the protection of listed species in two categories. These categories in order of their restrictiveness are as follows:

1. Endangered—any species, subspecies, or variety that is in danger of extinction throughout all or a significant portion of its range.
2. Threatened—any species, subspecies, or variety that is likely to become endangered within the foreseeable future throughout all or a significant portion of its range.

In general, ESA prohibits the trade in endangered and threatened species. The export of endangered species of plants is allowed only for scientific research, enhancement of propagation, and enhancement of survival. The Department of the Interior issues export permits for endangered species only under exceptional conditions.

The export of threatened species may be allowed for scientific research, enhancement of propagation, enhancement of survival, educational exhibition, display at botanical gardens and arboretums, and other activities consistent with the purposes and policy of ESA.

In all instances, the export of plants protected by ESA requires a permit issued by the Department of the Interior through the Division of Management Authority (DMA). PPQ does not issue DMA permits.

CITES:

CITES is a multinational treaty that regulates the export and reexport of listed species of wild fauna and flora. CITES provides three appendixes for listing plants. These appendixes in order of their restrictiveness are as follows:

1. Appendix I—any genus, **species**, subspecies, or variety, globally threatened with extinction through trade.
2. Appendix II—any taxon (the entire family—all genera and all species) that must be regulated in order to avoid the threat of extinction through trade.
3. Appendix III—any **species**, subspecies, or variety listed by one country in order to enlist the cooperation of other countries to reinforce domestic conservation measures by regulating trade.

Trade in protected species of CITES plants is monitored. More specifically, commercial trade in Appendix I plants taken from the wild is prohibited, and commercial trade in Appendix II plants is allowed only if that trade is not detrimental to the survival of the species in the wild.

The export of CITES plants requires an DMA permit or certificate that the exporter must apply for to export protected plants. PPQ does not issue these export documents. However, for all commercial exports and reexports of protected plants, the exporter must hold a USDA General Permit (PPQ Form 662) issued by PPQ.

Regulations

7CFR Part 353:

1. Provides a list of PPQ regional offices where information can be obtained for issuing export certificates for the export of plants and plant products.
2. Provides a list of designated ports where phytosanitary certificates may be issued for terrestrial plants listed in 50CFR Parts 17 and 23 offered for export.
3. Identifies the responsibilities of exporters. Exporters must provide a written application for inspection at the port of certification, make the plants or plant products accessible to allow for an efficient inspection and verification, and furnish all labor involved in the inspection.
4. Identifies the responsibility of Authorized Certification Officials (ACO's). The Authorized Certification Official (ACO) signs and issues a phytosanitary certificate based on the findings of an inspection. The inspection may be made on an officially drawn sample, representative sample, or the entire lot.
5. Contains a provision to ensure that Authorized Certification Officials (ACO's) do not inspect and certify plants or plant products in which they or members of their family have a direct or indirect financial interest.
6. Provides for issuing export certificates and entering into cooperative export certification programs.

7CFR Part 354.3:

Provides the authority to collect user fees and overtime costs for export certificates.

7CFR Part 355:

Provides the authority and procedures to administer and require General Permits for the importation, exportation, or re-exportation of endangered or threatened terrestrial plants, which are listed in 50CFR Part 17 and 50CFR 23

7CFR Part 356:

Provides the authority and procedures for the forfeiture of any plant, equipment, means of conveyance or other property seized under the Endangered Species Act of 1973 or the Lacey Act Amendments of 1981.

50CFR Part 17.12:

Provides a list of all species of plants that have been determined by the United States Fish and Wildlife Service, Department of the Interior, to be Endangered or Threatened.

50CFR Part 23.23:

Provides a list of all species of plants and animals that have been placed in Appendix I, II, or III to the Convention on International Trade in Endangered Species of Wild Fauna and Flora, CITES.

50CFR Part 24.12:

Provides a list of U.S. Department of Agriculture ports that are designated ports for the importation, exportation, or re-report of plants listed in 50CFR Part 17.11 or 50CFR 23.23.



Introduction

How to Use the Export Certification Manual (ECM)

Contents

Introduction Section [page-1-5-1](#)

Methods and Procedures Section [page-1-5-1](#)

Methods and Procedures With EXCERPT [page-1-5-1](#)

Introduction Section

Use the ECM to facilitate the export of plants and plant products. The two major sections of the ECM are the (1) Introduction and (2) Methods and Procedures. Use the Methods and Procedures section with EXCERPT to provide the full scope of information that you will need for export certification.

The information presented in the Introduction includes the basic policy for the export certification program and training, the purpose and scope of the ECM, responsibilities of the Authorized Certification Official (ACO) and exporter, supporting legislation and regulations, and the protocol for reporting problems or asking questions.

Methods and Procedures Section

The Methods and Procedures can be used as a checklist for certifying plants and plant products offered for export. A summary checklist is in the Overview, while the remaining subsections of Methods and Procedures contain a detailed checklist. The checklist covers conducting a preliminary assessment, identifying protected plants, reviewing export summaries, inspecting the shipment, deciding to certify, and preparing export certificates. The Methods and Procedures also covers special procedures such as validating and endorsing documents for protected plants, certifying reexport shipments and mail exports, and inspecting containerized oak lumber.

Methods and Procedures With EXCERPT

To facilitate the export of plants and plant products, Authorized Certification Officials (ACO's) will use the Methods and Procedures section of the ECM along with EXCERPT. EXCERPT can provide the following kinds of information:

- ◆ Export summaries of the plant import requirements of foreign countries
- ◆ CITES ports
- ◆ Protected plant species
- ◆ Ineligible commodities
- ◆ Processed products
- ◆ A record of recent changes to export summaries
- ◆ CPO List
- ◆ Online Export Certification Manual
- ◆ GRIN database



Introduction

Reporting Problems

Contents

Introduction [page-1-6-1](#)
Protocol [page-1-6-1](#)

Introduction

There are designated Export Certification Specialists who are responsible for assisting line operations to ensure the credibility of EXCERPT and the quality of Federal plant export certificates. State and county cooperators also are involved in issuing Federal plant export certificates. Therefore, in order to quickly respond to inquiries, there are established contacts for your questions, concerns, and suggestions relating to inspecting and certifying commodities, and issuing Federal plant export certificates. See [Table 1-6-1](#) for the established contact protocol to follow.

Protocol

Use [Table 1-6-1](#) to identify your contacts for questions, concerns, or suggestions you may have related to export certification.

TABLE 1-6-1: Contacts for Assistance With Export Certification¹

If you are a:	Then your first contact is:	Then your second contact is:	Then your third/ last contact is:	Then your fourth/ last contact is:	Then your last contact is:
PPQ officer (ACO) in the Eastern Region	Immediate supervisor	Export Certification Specialist ²	State Plant Health Director	Trade Specialist or Regional Program Manager ³	Export Services ⁴
PPQ officer (ACO) in the Western Region	Immediate supervisor	Local PPQ contact point or Export Certification Specialist ²	Trade Specialist or Regional Program Manager	Export Services	None
State cooperator (ACO)	State Plant Regulatory Official	Local PPQ contact point or Export Certification Specialist	Trade Specialist or Regional Program Manager	Export Services	None
County cooperator (ACO)	Immediate supervisor or State cooperator (CDFA)	Local PPQ contact point or Export Certification Specialist	Trade Specialist or Regional Program Manager	Export Services	None
PPQ manager (supervisor, State Plant Health Director, or Officer-in-Charge)	Export Certification Specialist	Trade Specialist or Regional Program Manager	Export Services	None	None
State Plant Regulatory Official	Local PPQ contact point or Export Certification Specialist	Trade Specialist or Regional Program Manager	Export Services	None	None
Local PPQ contact point in the Western region	Export Certification Specialist	Trade Specialist or Regional Program Manager	Export Services	None	None
Export Certification Specialist	Trade Specialist or Regional Program Manager	Export Services	None	None	None
Exporter, broker, grower, or another interested party	Authorized Certification Official	Local PPQ contact point or Export Certification Specialist	Trade Specialist or Regional Program Manager	Export Services	None

- 1 An exception to following this contact protocol is when EXCERPT directs you to contact Export Services, e.g., when the export summary is not available and the message states to contact Export Services.
- 2 Access EXCERPT to identify the local PPQ contact point or Export Certification Specialist who serves you.
- 3 Regional Program Manager, Eastern Region, USDA-APHIS-PPQ, Raleigh, North Carolina, phone: 919-855-7314; Regional Program Manager, Western Region, USDA-APHIS-PPQ, Fort Collins, Colorado, phone: 970-494-7569.
- 4 Export Services, USDA-APHIS-PPQ, Riverdale, Maryland, phone: 301-734-8537.



Introduction

Training

Contents

Authorized Certification Officials (ACO's) [page-1-7-1](#)
CPO's [page-1-7-1](#)

Authorized Certification Officials (ACO's)

PPQ officers, State cooperators, and county cooperators must successfully complete Export Certification Training to become an Authorized Certification Official (ACO) for issuing FPC's.

The selection of persons to be trained is a joint decision among PPQ managers, CPO's, and export certification instructors. They determine the schedule for initial or refresher training for PPQ and State personnel and arrange for the export certification workshops with designated trainers.

At a minimum, refresher training for every ACO should be conducted at 3-year intervals.

CPO's

CPO's must participate in periodic export certification workshops when conducted by the Export Services (ES). CPO's will develop and present refresher training to maintain credibility of the program and to avoid recurrent errors in phytosanitary certificates. In 2002, the PDC will provide a standard refresher training course for use by designated trainers in the field.



Introduction

The Export Certification Project (EXCERPT)

EXCERPT is an electronic data base that supports PPQ's phytosanitary certification program by housing the summaries of import requirements of foreign countries. EXCERPT provides the capability to enter, store, manage, and retrieve export summary data. This data can be retrieved by PPQ employees, State and county cooperators, and other authorized users.

Under a cooperative agreement PPQ has with Purdue University, Purdue supports EXCERPT in the following areas:

- ◆ Database management systems administration
- ◆ Development and operations
- ◆ User training materials
- ◆ Operation of the EXCERPT hotline
- ◆ Computing services (hardware and software)

Export Services is the staff within PPQ responsible for overseeing the cooperative agreement, and for the data within EXCERPT.

An emergency response plan will supply EXCERPT users with export summary information when the EXCERPT system cannot be accessed for more than 8 hours. This could occur with a system shutdown or failure. This plan, called "EMERGENCY RESPONSE," will be activated by PPQ electronic mail notification. The emergency response plan will be utilized until EXCERPT is returned to on-line status. (See [Appendix M "Emergency Response" on page-M-1-1.](#))

For further information about EXCERPT, contact the EXCERPT program manager at the following address:

EXCERPT Program Manager
USDA, APHIS, PPQ, ES
4700 River Road, Unit 140
Riverdale, MD 20737
FAX: 301-734-3249
Phone: 301-734-8537

2

Export Certification
Manual

Methods And Procedures

Overview

Contents

Decision to Certify	page-2-1-3
Determine Authority to Certify Protected Plants	page-2-1-3
Import Requirements	page-2-1-3
Inspectional Guidelines	page-2-1-3
Federal Phytosanitary Certificate (FPC), PPQ Form 577	page-2-1-4
Phytosanitary Certificate (FPC-R) for Reexport, PPQ Form 579	page-2-1-4
Export Certificate, Processed Plant Products (PPC), PPQ Form 578	page-2-1-4
Mail Exports	page-2-1-5
Containerized Oak Lumber	page-2-1-5

Methods and Procedures contain the guidelines that you must consider before certifying plants and plant products offered for export. [Figure 2-1-1](#) is a list of categories for these guidelines and the relative steps used in this section to guide you through the certification process:

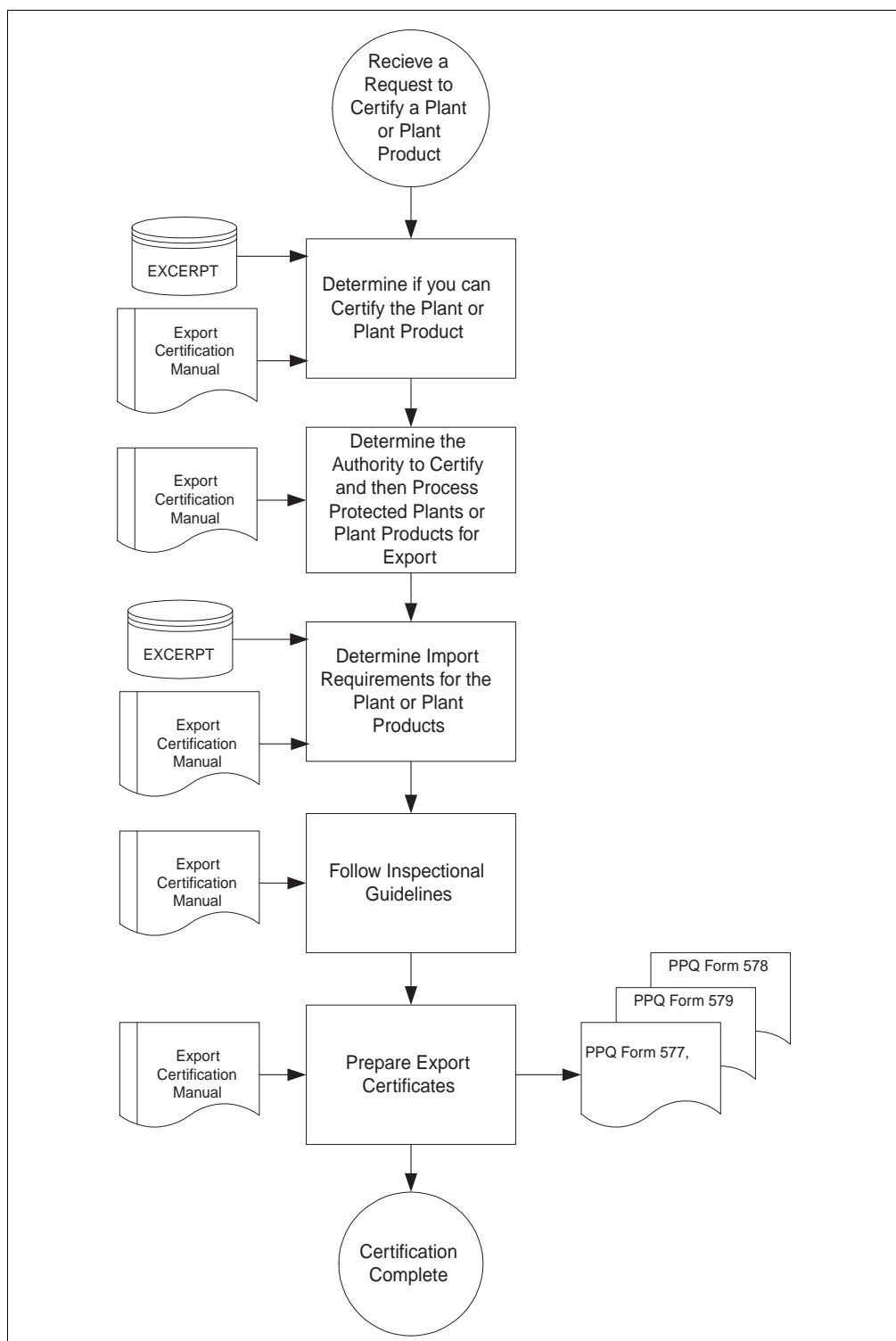


FIGURE 2-1-1: Overview of guidelines for export certification¹

- ¹ In addition to these guidelines, PPQ officers should refer to [Appendix A](#) for collecting user fees for export certificates. If you are a State or county cooperator, refer to local policy user fees, if applicable.

Additional information and detailed procedures relating to these guidelines are included in the following parts of the Methods and Procedures section.

Decision to Certify

Before referring to a country's export summary, inspecting a shipment, or completing an export certificate, Authorized Certification Officials (ACO's) need to assess if they can certify the plants or plant products and determine if the shipment is of domestic or foreign origin.

Determine Authority to Certify Protected Plants

The task of enforcing the legislation that protects plants from extinction requires that officers determine if articles are moving in accordance with or in violation of the legislation. After making this determination, the Authorized Certification Official (ACO) can use the procedures in this section to process the shipment.

Import Requirements

Authorized Certification Officials (ACO's) use the export summary of the foreign country (found in EXCERPT) to identify all import requirements that must be met in order to issue a Federal Phytosanitary Certificate (FPC), or to identify prohibitions that would disallow the certification of plants or plant products. Based on whether the plants or plant products can meet the import requirements, Authorized Certification Officials (ACO's) then determine if an FPC can be issued.

Inspectional Guidelines

The inspection and verification of plants or plant products offered for export determines whether or not the shipment meets the import requirements of the foreign country. Authorized Certification Officials (ACO's) should refer to the export summary of the foreign country before beginning their inspection. Also, Authorized Certification Officials (ACO's) should review import permits (IP's) or special authorizations that were presented to ensure that the shipment meets any additional requirements listed in the documents.

Federal Phytosanitary Certificate (FPC), PPQ Form 577

The FPC is an accountable inspection certificate used to certify domestic plants and unprocessed or unmanufactured products for export. The intended purpose of the FPC is to certify that plants or plant products conform with the current phytosanitary regulations of the importing country.

Phytosanitary Certificate (FPC-R) for Reexport, PPQ Form 579

Phytosanitary Certificates for Reexport (FPC-R), PPQ Form 579, are issued for foreign plants and unprocessed or unmanufactured plant products that have been imported into the United States. The Authorized Certification Official (ACO) certifies that plants or plant products have been safeguarded against the risk of infestation or infection while in the United States. If safeguarding cannot be verified, the Authorized Certification Official (ACO) must perform a phytosanitary inspection. The FPC-R is not issued for plants or plant products listed in export summaries as prohibited by the foreign country.

A Phytosanitary Certificate for Reexport is used to certify foreign plants and plant products for reexport. The intended purpose of the reexport certificate is to certify that plants or plant products conform with the current phytosanitary regulations of the importing country. **A PPQ Form 579 (FPC-R) is not issued for foreign processed products.**

Export Certificate, Processed Plant Products (PPC), PPQ Form 578

The PPC is an accountable certificate used to certify specific, processed plant products for export. The PPC was created by PPQ to fill a void where no other USDA agency certification exists or could be adapted. No liability is assumed to the USDA or to any of its representatives with respect to this certificate. The intended purpose of the PPC is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is not issued. The PPC may be issued for only processed products specified in EXCERPT, regardless of the product's origin.

Mail Exports

■ This section provides the necessary steps for processing plant material that is being exported by mail. When the plant material arrives at the port of exit, the Authorized Certification Official (ACO) can issue an FPC if the shipment is found free of plant pests and otherwise meets the import requirements of the foreign country.

Containerized Oak Lumber

The preferred method of certifying lumber for export is to inspect the lumber before it is containerized. The fact that the lumber is tightly and neatly packed in containers does not negate the inspection function. This section provides standardized inspection procedures for certifying containerized oak lumber.

2

Export Certification
Manual

Methods And Procedures

Decision to Certify

Contents

- Receive a Request [page-2-2-1](#)
- Conduct a Preliminary Assessment [page-2-2-2](#)
- Identify Protected Plants [page-2-2-4](#)

Receive a Request

To begin with, someone must ask for an export certificate. This request may be one of the following:

- ◆ PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export¹
- ◆ PPQ Form 577, Federal Phytosanitary Certificate (partially completed)
- ◆ PPQ Form 578, Export Certificate, Processed Plant Products (partially completed)
- ◆ PPQ Form 579, Phytosanitary Certificate for Reexport (partially completed)
- ◆ Telephone call
- ◆ Letter or facsimile
- ◆ Inquiry about exporting plant material by mail²

Every effort should be made to get a written application that provides reliable information for the proper completion of an export certificate.

PPQ Form 572 is specifically designed to provide the information needed to complete an export certificate. The form also serves as a worksheet for the Authorized Certification Official (ACO) to make the inspection.

Overview of Procedures:

Procedures to take in making your decision to certify plants or plant products for export are referenced in [Figure 2-2-1](#).

¹ The directions for completing a PPQ Form 572 are in Appendix C.

² The procedure for exporting plant material by mail begins on page 2.9.1 behind the tab titled, Mail Exports.

- ◆ “Step 1—Collect Information” on [page-2-2-2](#)
- ◆ “Step 2—Determine if the Plants or Plant Products Are Eligible for Certification” on [page-2-2-3](#)
- ◆ “Step 3—Determine Origin and Destination” on [page-2-2-3](#)
- ◆ “Step 4—Identify Protected Plants” on [page-2-2-4](#)
- ◆ “Step 5—Determine Authority to Certify Protected Plants or Plant Products for Export:” on [page-2-2-6](#)

FIGURE 2-2-1: Overview of steps for the decision to certify plants or plant products for export

Conduct a Preliminary Assessment

Before referring to an export summary, inspecting a shipment, or completing an export certificate, Authorized Certification Officials (ACO's) need to assess if they can certify the plants or plant products and determine if the shipment is of domestic or foreign origin.

Step 1—Collect Information

After receiving a request for inspection and certification, get the following key information:

1. Location of commodity
2. What the plants or plant products are (botanical names if possible)
3. Whether or not it is a processed product and the degree of processing
4. Where it was grown (State or county)
5. Where it is going (country and port(s) of entry)
6. What date the plants or plant products are being shipped

Collect supporting documents available, e.g., import permit (IP), State inspection certificate, other Federal agency inspection forms.

Gathering the key information listed above will prepare Authorized Certification Officials (ACO's) to determine if they can issue an export certificate, and to inspect and certify the plants or plant products for export.

After you have collected the necessary information, determine if you can issue a Federal export certificate based on the product ([Step 2](#)) and its origin and destination ([Step 3](#)).

Step 2—Determine if the Plants or Plant Products Are Eligible for Certification

Decide if you can certify the plants or plant products offered for export using [Table 2-2-1](#).

TABLE 2-2-1: Plants or Plant Products That Are Eligible or Ineligible for Certification

If the commodities are:	And they are:	And they are:	Then based on what the plants or plant products are:
Plants, parts of plants, or something derived from plants—including edible mushrooms as vegetables	Processed products, for example: ◆ frozen fruits or vegetables ◆ pelletized plant material ◆ plywood	Listed in EXCERPT as a processed product eligible for certification (Export Certificate, Processed Plant Products (PPC), PPQ Form 578)	1. CONSIDER the commodities certifiable and eligible for a processed product certificate (PPC), PPQ Form 578 2. GO to Step 3
		Listed in EXCERPT as an ineligible commodity	REFUSE to issue a Federal export certificate including a PPC, PPQ Form 578
	Unprocessed products ¹	→	1. CONSIDER the commodities certifiable and eligible for a Federal export certificate 2. GO to Step 3
Neither plants nor anything derived from plants	Living organisms such as: ◆ soil inoculums ◆ bacterial cultures ◆ fungal cultures	→	REFUSE to issue a Federal export certificate, even when required by an Import Permit
	Nonplant products		
A mixture or combination of plant and non-plant materials	→		Not certifiable

1 Certain processed products are considered a pest risk when shipped in bulk or maintain a pest risk regardless of processing. These products are effectively unprocessed for the purpose of certification. Some of these products are listed in EXCERPT.

Step 3—Determine Origin and Destination

Use [Table 2-2-2](#) to decide if you can certify the plants or plant products based on their destination.

TABLE 2-2-2: Determining Eligibility for Certification Based on Origin and Destination

If the plants or plant products originated in:	And the plants or plant products are being exported:	Then:
United States, American Samoa, Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands, (St. Thomas, St. Croix, St. John)	To a foreign country	<ol style="list-style-type: none"> 1. CONSIDER the items certifiable and eligible for an export certificate (PPQ Form 577 or 578). A State certificate may be used only if it is accepted by the country or U.S. Affiliated Island of destination. 2. HANDLE the shipment as a domestic shipment for export 3. GO to Step 4 to determine if the plants or plant products are protected
	Interstate via Canada	
	To the Republic of the Marshall Islands	<ol style="list-style-type: none"> 1. REFUSE to issue either Federal Export Certificates PPQ Form 577 or PPQ Form 578. They are not authorized. 2. REFER exporter to the State, country, or Affiliated Island's plant regulatory agency for certification using a State certificate
	To United States, American Samoa, Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John)	
A foreign country or the Republic of Marshall Islands (islands affiliated with the United States)	To a foreign country	<ol style="list-style-type: none"> 1. CONSIDER the items eligible for an export certificate (PPQ Form 579) (FPC-R) 2. HANDLE the shipment as a foreign shipment for reexport 3. GO to Step 4 to determine if the plants or plant products are protected
	Interstate via Canada	
	To the Republic of the Marshall Islands	
	To American Samoa, Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John)	

Identify Protected Plants

PPQ is responsible for enforcing The Endangered Species Act (ESA) and The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) for exporting and reexporting listed plants. Therefore, you must identify if they are protected by ESA or CITES before confirming that the plants or plant products offered for export can meet the import requirements of the foreign country.

Step 4—Identify Protected Plants

In EXCERPT, enter the name of the plants or plant products being offered for export. Then, check the endangered species menu to determine if this is a protected plant or plant product.

If you can't find the plant name and you're in doubt of its accuracy, then hold the shipment until the plants are correctly identified. If local expertise is unavailable, then consult with the nearest PPQ botanist.

All protected plants are listed in EXCERPT by genus, including genera in the families Cactaceae and Orchidaceae. Listed below are characteristics of Orchidaceae and Cactaceae families to help visually identify plants or plant products that may be regulated by ESA or CITES.

Orchidaceae

1. Leaf venation is parallel.
2. Roots are fibrous or cordlike to tuberous.
3. Stems often are more or less swollen or thickened and forming a pseudobulb.
4. Flowers are orchidlike.

Cactaceae

1. Stems are succulent with small, woolly or felt area often bearing clusters of spines or bristles.
2. If stems are not succulent, then look for stems with tufts of fuzz and spines arising from the fuzz.

After you have determined the ESA or CITES status of the plant or plant product, go to **Table 2-2-3** to determine the next step in the certification process.

See the following web sites for ESA and CITES listings:

ESA- <http://endangered.fws.gov/wildlife.html#Species>

CITES- <http://www.CITES.org/>

TABLE 2-2-3: Determining if Plants or Plant Products Can Be Certified Based on ESA and CITES

If the articles being exported are:	And they are:	And they are of:	Then:
Neither protected by ESA nor CITES	Unprocessed products	Domestic origin	GO to page 2.3.1 to identify import requirements and determine if a Federal Phytosanitary Certificate (FPC) can be issued
		Foreign origin	GO to page 2.6.1 for directions on certifying reexport shipments
	Eligible processed products ¹	→	GO to page 2.7.1 to complete a PPQ Form 578
Protected by ESA or CITES	→	→	GO to Step 5 to determine your authority and action to take to export protected plants

1 Listed in EXCERPT as a processed product eligible for certification (Export Certificate, Processed Plant Products (PPC), PPQ Form 578).

Step 5—Determine Authority to Certify Protected Plants or Plant Products for Export:

Determine your authority to issue an FPC for protected plants based on where you are located. To do this, you can find designated ports in the following ways:

- ◆ look up the list of CITES ports in EXCERPT
- ◆ look up the list in 50CFR 24.12
- ◆ got the PPQ URL for designated ports:

<http://www.aphis.usda.gov/ppq/permits/cites>

After you have identified the designated ports, continue to **Table 2-2-4**.

TABLE 2-2-4: Determining Authority to Certify Protected Plants or Plant Products for Export

If you are:	And the protected plants are:	Then:
At a designated port that is authorized to export the protected plants or plant products (Ref: 50CFR 24.12 or http://www.aphis.usda.gov/ppq/permits/cites/)	American ginseng (<i>Panax quinquefolius</i>)	GO to the procedures for protected plants, “ Validate and Endorse Documents for American Ginseng (Panax quinquefolius) ” on page-2-8-16
	Other than American ginseng	GO to the procedures for protected plants, “ Validate and Endorse Documents for Protected Plants Other Than American Ginseng ” on page-2-8-2
Not at a designated port	→	<ol style="list-style-type: none"> 1. CONTACT the nearest designated port or your contact point officer (CPO) for guidance. Some designated ports have established procedures for State cooperators at interstate locations and PPQ officers at nondesignated ports to assist in inspecting and processing shipments of protected plants.¹ 2. EXIT this manual. You are not authorized to complete an FPC for plants or plant products regulated by ESA or CITES.

1. Some designated ports have established procedures that allow State or county cooperators to attest that the plants are artificially propagated and to complete a State phytosanitary certificate. The exporter then sends the State certificate, an invoice, and specified copies of the ESA or CITES documents to the designated port for validation and endorsement. Also, for some designated ports, a blank FPC must be obtained and partially completed by the exporter and then sent back to the designated port, along with the other paperwork.

Also, procedures have been established to allow PPQ officers at nondesignated ports to confirm that the exporter has a USDA General Permit and the proper ESA or CITES documents. The officer confirms that all the paperwork agrees with the shipment and completes an application (PPQ Form 572) to be sent by the exporter along with specified copies of an invoice and the ESA or CITES documents to the designated port for validation and endorsement. In this case, shipments may also be required to go through designated port as well if where is a question about the validity of the shipment.

2

Export Certification
Manual

Methods And Procedures

Import Requirements

Contents

Introduction [page-2-3-1](#)
Review Export Summaries [page-2-3-1](#)

Introduction

Authorized Certification Officials (ACO's) use the export summary of the foreign country to identify all import requirements that must be met in order to issue an FPC, or to identify prohibitions that would disallow certification of the plants and plant products. Based on whether the plants and plant products can meet the import requirements, Authorized Certification Officials (ACO's) then determine if an FPC can be issued.

EXCERPT provides the most recent information on import requirements. To identify recent changes or additions to import requirements for plants or plant products, as well as alerts that may apply to all exports, always check the following:

- ◆ Phytosanitary Notes (PN's)
- ◆ EXCERPT messages and alerts
- ◆ Recent Summary Changes

Review Export Summaries

THE SUMMARIES OF THE IMPORT REQUIREMENTS OF FOREIGN COUNTRIES ARE NOT TO BE CONSIDERED LEGALLY AUTHORITATIVE. They are prepared from translations of plant quarantine regulations, official instructions, and other information provided by officials in the foreign countries. When possible, a summary is reviewed and corrected by plant protection officials in the foreign country **before** it is loaded in EXCERPT. Changes are based on official information from the foreign country and are available to all Authorized Certification Officials (ACO's) in EXCERPT.

Occasionally, important changes in foreign regulations are not brought to the attention of PPQ. Therefore, you should advise exporters that there may be informational gaps in the summaries. Especially in the case of unusual or expensive shipments, exporters

may wish to contact the plant protection officials in the foreign country to obtain or confirm the requirements for particular plants and plant products.

When the exporter presents import requirements that differ from those in the summary, the exporter must provide the Authorized Certification Official (ACO) with official documents stating the requirements. The documents may be import permits (IP's), special authorizations, or recent correspondence from the plant protection service of the foreign country. (These new requirements should be brought to the attention of ES.) An official document from the plant protection service of the foreign country takes precedence over the information contained in the summary.

Keep in mind that exporters frequently present contract or letter of credit stipulations from their contacts in the foreign country to indicate that plant quarantine regulations have been changed. Information from exporters' contacts cannot be considered official because changes or exceptions to plant quarantine regulations must come from the plant protection service of the foreign country. However, a few countries use commercial contracts to outline the import requirements for a particular shipment. Exceptions such as the acceptable use of commercial contracts are listed in the respective export summaries.

Overview of Procedures:

Procedures to take in determining the import requirements for plants or plant products offered for export are referenced in [Figure 2-3-1](#).

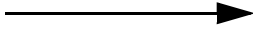
- ◆ "Step 1—Determine if a Plant or Plant Product Is Prohibited in the Export Summary of EXCERPT:" on [page-2-3-2](#)
- ◆ "Step 2—Regulate Prohibited Plants or Plant Products:" on [page-2-3-4](#)
- ◆ "Step 3—Determine Import Requirements for Restricted Plants or Plant Products:" on [page-2-3-4](#)

FIGURE 2-3-1: Overview of steps for determining import requirements for plants or plant products offered for export

Step 1—Determine if a Plant or Plant Product Is Prohibited in the Export Summary of EXCERPT:

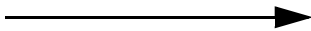
1. Using [EXCERPT](#) and its User's Guide, access the export summary for a particular field. To access the web site for EXCERPT use the following URL: <http://excerpt.ceris.purdue.edu/>. If you cannot access the [EXCERPT](#) system and it is projected by your contact (referenced in [Table 1-6-1](#)) to be out of service for more than 1 work day (8 hours), then go to [Table 2-3-1](#) and determine your action.

TABLE 2-3-1: Responding to EXCERPT System Failures

If the EXCERPT user:	And:	Then:
Can access PPQ electronic mail (E-MAIL)	Find the Emergency Response Plan message	GO to Appendix 13, Emergency Response
	Cannot find the Emergency Response Plan message	CALL a contact established in Table 1-6-1
Cannot access PPQ electronic mail (E-MAIL)		

After you have accessed the EXCERPT summary, go to [Table 2-3-2](#) of this manual and determine your response to information in EXCERPT.

TABLE 2-3-2: Responding to EXCERPT Information

If:	And EXCERPT:	Then:
The export summary for the country is not in EXCERPT		CALL ES: Phone: (301) 734-8537 FAX: (301) 734-3249
The country's name is in EXCERPT	Gives the following message: "Summary not available. Contact ES."	
	Sends you to the country's name	GO to Table 2-3-3 and begin identifying import requirements.
	Sends you to another foreign country—the country that the summary of import requirements is listed under	Use the approved country name in EXCERPT for completing phytosanitary certificates.

2. In EXCERPT, enter the name of the commodity and plant part. There are two possible places within the summary to find if plants or plant products are prohibited:
 - ❖ First, go to General Information which is for all commodities—domestic and reexport. Under the category of prohibited products is a listing of those plants and plant products that are prohibited.
 - ❖ The second place to look is in Product Requirements under the scientific name of the plants or plant products. Typically, the Product Requirements section is used for U.S. origin plants or plant products offered for export.

TABLE 2-3-3: Determining if a Plant or Plant Product Is Prohibited

If a plant or plant product is listed in EXCERPT as:	Then:
Prohibited by the country	GO to Step 2 , and check if the exporter has an import permit (IP) or other special authorization for the shipment from the plant protection service of the foreign country ¹
Not prohibited by the country	Go to Step 3 , and continue to look for import requirements that apply to the plants or plant products

- 1 This official document may not look like a U.S. issued Import Permit (IP). A foreign issued IP is issued to the importer in the foreign country and a copy is sent to the exporter. If this IP is translated by someone other than the Authorized Certification Official (ACO), it must be certified in writing as an accurate translation before the Authorized Certification Official (ACO) can accept the IP.

Step 2—Regulate Prohibited Plants or Plant Products:

Use **Table 2-3-4** to determine your action if the exporter has an import permit (IP) or other special authorization for shipment from the plant protection service of the foreign country.

TABLE 2-3-4: Regulating Prohibited Plants or Plant Products With Import Permit (IP) Requirements

If the exporter has:	Then:
An IP or another special authorization	<ol style="list-style-type: none">1. REVIEW the document for requirements that must be met by the exporter2. INSPECT the plants or plant products to make sure the exporter has met requirements listed on the document3. ENTER an additional declaration (AD) on the FPC that an IP was presented (include the number of the IP)4. GO to the inspectional guidelines beginning on page 2.4.1 behind the tab Inspectional Guidelines
No IP or another special authorization	<ol style="list-style-type: none">1. REFUSE to issue an FPC2. INFORM the exporter that the plants or plant products are prohibited by the country and must have an IP to be certified—the exporter must get an IP from the foreign importer

Step 3—Determine Import Requirements for Restricted Plants or Plant Products:

Step 8 identifies factors that place restrictions on plant shipments. **Figure 2-3-2** summarizes the factors that must be considered when you determine if a plant or plant product is restricted.

1. Do the plants or plant products require an import permit (IP)? ([page-2-3-5](#))
2. Are the plants or plant products conditionally prohibited from specific areas that are infested with a pest usually associated with the host? ([page-2-3-7](#))
3. Do the plants or plant products require a growing season inspection? ([page-2-3-8](#))
4. Is there a specific time during the year when the plants or plant products are permitted to enter the foreign country? ([page-2-3-8](#))
5. Do the plants or plant products require treatment in the country of origin as a condition of entry? ([page-2-3-8](#))
6. Do the plants or plant products need to conform to an additional declaration (AD) or an official verification (OV)? ([page-2-3-11](#))
7. Does the foreign country limit the import of plants or plant products to specified ports? ([page-2-3-12](#))
8. Are there other import requirements of a phytosanitary nature listed in the summary that the plants or plant products must be met as a condition of entry? ([page-2-3-13](#))

FIGURE 2-3-2: Summary of factors that must be considered when you determine if a plant or plant product is restricted

Now, see if the plants or plant products must meet import requirements listed in the foreign country's summary. Identify **all** the requirements—the specific and general requirements sections should be met. If the foreign country has specifically identified the plants or plant products, there will be an entry in Product Requirements listing both the specific and general requirements that must be met. Typically, the Product Requirements section is used for U.S. origin plants or plant products offered for export.

If the foreign country has **not** specifically identified the plants or plant products as requiring conditions of entry and thus are not listed in Product Requirements, then you **must go to General Information** in EXCERPT. Identified here are general requirements that have to be met by all plants or plant products. Also, the General Information section makes the distinction between restricted and unrestricted plants or plant products.



Be aware that when overall import requirements for a foreign country are unusual or unique, a special notice will be under General Information. For example, in the export summary for the Republic of South Africa there is a special notice alerting readers that if plants or plant products are **not** listed in the summary, then they are considered prohibited.

It is important to ensure that **all** import requirements are identified for plants or plant products offered for export. The most common and consistent import requirements that must be met are listed below with the appropriate action(s) that needs to be performed by the Authorized Certification Official (ACO).

Use the following list as a checklist when you review an export summary:

1. **Do the plants or plant products require an IP?** An IP is issued to the importer in the foreign country—not to the exporter. If the exporter has a copy of the permit, the exporter must have received it from the importer. If necessary, the permit should be translated from the original language and notarized as a true translation.
 - A. If the plants or plant products require an IP but are **not** listed in the summary as being prohibited, they are restricted. Continue to [Table 2-3-5](#) to consider other import requirements.
 - B. If the plants or plant products do not require an IP, then continue to [Table 2-3-6](#) to consider other import requirements.

TABLE 2-3-5: Regulating Non prohibited [Restricted] Plants or Plant Products With Import Permit (IP) Requirements

After reviewing the supporting documents, you determine that the exporter:	Then:
Has a copy of an IP issued by the plant protection service of the foreign country	<ol style="list-style-type: none"> 1. INSPECT the plants or plant products to make sure the shipment meets all the requirements listed on the IP NOTE: An AD is to be recorded on the FPC indicating that an IP was presented 2. If needed, CHECK the summary for other requirements that may pertain to the plants or plant products being exported. Generally, the IP supersedes the information in the summary because it is more current. However, an IP may also supplement information in the summary. 3. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab
Does not have a copy of an IP	<ol style="list-style-type: none"> 1. INFORM the exporter that the shipment may be held at its destination point without an IP NOTE: An AD is to be recorded on the FPC stating: “No Import Permit was presented.” 2. GO to Table 2-3-7




Generally, you cannot refuse to issue an FPC for restricted or non prohibited plants or plant products if an IP is not presented. However, this rule is not strictly followed for all countries. In some cases, an IP for the importation of certain restricted or non prohibited plants or plant products is required. In these cases, the Authorized Certification Official (ACO) should not issue an FPC unless the IP is presented. Countries that absolutely require an IP for the importation of certain restricted or non prohibited plants or plant products are identified in EXCERPT with the following statement or similar statement: “PC and IP required. Do not issue a PC unless an IP is presented.”

TABLE 2-3-6: Regulating Plants or Plant Products Without Import Permit (IP) Requirements

After reviewing the supporting documents, you determine that the exporter:	Then:
Has a copy of an IP issued by the plant protection service of the foreign country	<p>1. INSPECT the plants or plant products to make sure the shipment meets all the requirements listed on the IP</p> <p>NOTE: An AD is to be recorded on the FPC stating: "Import Permit number ____ was present." (place IP number in blank)</p> <p>1. If needed, CHECK the summary for other requirements that may pertain to the plants or plant products being exported. Generally, the IP supersedes the information in the summary because it is more current although basic requirements will still apply.</p> <p>2. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab</p>
Does not have a copy of an IP	GO to Table 2-3-7

2. Are the plants or plant products conditionally prohibited from areas that are infested with a pest usually associated with the host? Use [Table 2-3-7](#) to take the appropriate action.

TABLE 2-3-7: Regulating Plants or Plant Products Conditionally Prohibited From Specific Areas That Are Infested With a Pest Usually Associated With the Host

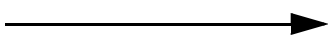
If the plants or plant products are:	And after reviewing supporting documents, you determine that the plants or plant products were grown in: ¹	Then:
Prohibited from specific areas that are infested with a pest usually associated with that host	One of the specified areas	REFUSE to issue an FPC
	An area free from pests associated with that host (A Pest-Free Area)	GO to Table 2-3-8
Not prohibited from specific areas		

1 Get pest distribution information from the following sources:

- ◆ Area identifiers
- ◆ Contact point officers
- ◆ National Agricultural Pest Information System (NAPIS)
- ◆ State or county regulatory personnel
- ◆ Riverdale (Scientific Services) through your contact point officer
- ◆ Cooperative Extension Services
- ◆ Universities
- ◆ World Wide Web

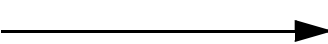
3. Do the plants or plant products require a growing season inspection? Use [Table 2-3-8](#) to take the appropriate action.

TABLE 2-3-8: Regulating Plants or Plant Products That Require a Growing Season Inspection

If the plants or plant products:	And after reviewing the supporting documents, you determine that a growing season inspection was:	Then:
Require a growing season inspection	Not satisfactorily conducted	REFUSE to issue an FPC
	Satisfactorily conducted	GO to Table 2-3-9 to check for other import requirements that may pertain to the plants or plant products being exported
Do not require a growing season inspection		

4. Is there a specific time during the year when the plants or plant products are permitted to enter the foreign country?
Use [Table 2-3-9](#) to take the appropriate action.


TABLE 2-3-9: Regulating Plants or Plant Products That May Enter the Foreign Country Only During Specific Times During the Year

If the summary:	And after reviewing the supporting documents, you determine that the plants or plant products will:	Then:
Lists a specific time when the plants or plant products are enterable	Not arrive during the specified time	REFUSE to issue an FPC
	Arrive during the specified time	CONTINUE through Step 3 to factor 5 <i>“Do the plants or plant products require treatment in the country of origin as a condition of entry?”</i> .
Does not list specific times for entry		

5. Do the plants or plant products require treatment in the country of origin as a condition of entry?


- A.** If the plants or plant products require treatment, use [Table 2-3-10](#) to take the appropriate action.
- B.** If the plants or plant products do not require treatment, but were treated, use [Table 2-3-11](#) to take the appropriate action.

TABLE 2-3-10: Regulating Plants or Plant Products That Require Treatment in the Country of Origin as a Condition of Entry

After reviewing supporting documents, you determine that:	And the exporter is:	Then:
A treatment acceptable to the importing country was conducted under supervision by a Federal, State, or county plant quarantine official ¹		NOTE: Details of <i>all</i> acceptable treatments are to be recorded on the FPC GO to Table 2-3-12
No treatment was conducted or treatment was unacceptable to the importing country	Not willing to arrange for proper treatment	REFUSE to issue an FPC
	Willing to arrange for proper treatment at commercial facilities conducted under supervision by a Federal, State, or county plant quarantine official*	1. SUPERVISE treatment NOTE: Details of <i>all</i> acceptable treatments are to be recorded on the FPC 1. GO to Table 2-3-12

- 1 On occasion and when circumstances warrant, a notarized statement from a licensed pest control operator (certified for the type of treatment applied), or a compliance agreement for fumigation in a chamber may be accepted in lieu of official supervision. Phytosanitary Note #792, dated 02/08/95, clarifies the APHIS policy concerning the certification of commodities for export that are subject to quarantine treatment. Phytosanitary Note #791, dated 02/08/95, clarifies the APHIS policy concerning the certification of seed for export (See a sample of a commodity treatment compliance agreement in Appendix 8, Compliance Agreements.)

TABLE 2-3-11: Regulating Treated Plants or Plant Products That Do Not Require Treatment in the Country of Origin as a Condition of Entry

After reviewing the supporting documents, you determine that:	And the exporter:	Then:
An acceptable treatment was conducted under supervision by a Federal, State, or county plant quarantine officer ¹		NOTE: Details of all acceptable treatments are to be recorded on the FPC GO to Table 2-3-12
No treatment was conducted or treatment was unacceptable	Wants the shipment treated	1. SUPERVISE treatment NOTE: Details of all acceptable treatments are to be recorded on the FPC 1. GO to Table 2-3-12
	Does not want the shipment treated	GO to Table 2-3-12

- 1 It is APHIS' policy to have Authorized Certification Officials (ACO's) attest to a fumigation treatment on a phytosanitary certificate when:

The fumigation was conducted under monitoring a Federal, State, or county plant quarantine officer and followed procedures specified in the APHIS, PPQ Treatment Manual, **OR**

The fumigation was **not** conducted under monitoring a Federal, State, or county plant quarantine officer; however, a notarized letter attesting to the treatment performed by a licensed pest control operator is presented to the Authorized Certification Official (ACO). **This type of unsupervised treatment can be used only when the licensed pest control operator is not routinely involved in monitored regulatory treatments, and other options are not available.** In this case, the pest control operator (certified for the type of treatment applied) should be provided with the appropriate parts of the PPQ Treatment Manual and advised to follow specified procedures.


The fumigation or treatment is indicated on the label of a seed shipment.



Phytosanitary Note #792, dated 02/08/95, clarifies the APHIS policy concerning the certification of commodities for export that are subject to quarantine treatment. Phytosanitary Note #791, dated 02/08/95, clarifies the APHIS policy concerning the certification of seed for export (See a sample of a commodity treatment compliance agreement in [Appendix H, Issuing Compliance Agreements \(PPQ Form 519\) With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton](#)).


6. Do the plants or plant products need to conform to an additional declaration (AD) or an official verification (OV) or freedom from applicable Harmful Organisms listed in General Information? Use [Table 2-3-12](#) to take the appropriate action.

TABLE 2-3-12: Regulating Plants or Plant Products That Must Comply With an Additional Declaration (AD) or an Official Verification (OV)

If the plants or plant products:	And after reviewing the supporting documents or inspecting the plants or plant products, you determine that	Then:
Need to conform to an AD	The plants or plant products meet all requirements and conditions specified by the AD	NOTE: An AD is to be recorded on the FPC GO to Table 2-3-13
	There is no clear evidence that the plants or plant products meet all requirements and conditions specified by the AD	DETERMINE if the condition can be met, e.g., treatment If it can be met, 1. ALLOW exporter to provide evidence of freedom 2. INSPECT the plants or plant products after the exporter has provided the evidence 3. GO to Table 2-3-13 If it cannot be met, REFUSE to issue an FPC
Need to conform to an OV	There is no clear evidence that the plants or plant products meet all requirements and conditions specified by the OV	GO to Table 2-3-13
	The plants or plant products meet all requirements and conditions specified by the OV	
Does not need to conform to an AD or OV		
Need to conform to freedom from applicable Harmful Organisms listed in General Information	There is clear evidence (e.g. lab tests or field inspection results) that the plants or plant products are free of applicable pests listed in Harmful Organisms	GO to Table 2-3-13
	There is no clear evidence that the plants or plant products meet freedom from applicable pests listed in Harmful Organisms	DETERMINE if the freedom can be met If it can be met, 1. ALLOW exporter to provide evidence of freedom 2. INSPECT the plants or plant products after the exporter has provided the evidence 3. GO to Table 2-3-13


7. Does the foreign country limit the import of plants or plant products to specified ports? Use [Table 2-3-13](#) to take the appropriate action.

TABLE 2-3-13: Regulating Plants or Plant Products That Are Limited to Enter Ports Specified by the Foreign Country

If the plants or plant products are:	And the exporter has designated:	Then:
Limited to specified ports	A port other than what was specified in the summary	1. WARN the exporter that the shipment may be refused or delayed if it enters a port other than what was specified in the summary NOTE: Do not refuse to issue an FPC if this is the only unmet requirement 2. GO to Table 2-3-14
	One of the specified ports	GO to Table 2-3-14
Not limited to specified ports		

8. Are there other import requirements of a phytosanitary nature listed in the summary that the plants or plant products must meet as a condition of entry? Use [Table 2-3-14](#) to take the appropriate action.

TABLE 2-3-14: Regulating Plants or Plant Products That Must Meet Phytosanitary Requirements as a Condition of Entry

If there is:	And after reviewing supporting documents or inspecting the plants or plant products, you determine that the:	Then:
An import requirement	Requirement was met	GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab
	Plants or plant products do not meet the requirement	<p>DETERMINE if the condition is correctable, e.g., treatment</p> <p>If it is correctable,</p> <ol style="list-style-type: none"> 1. ALLOW the exporter to meet the requirement or condition 2. INSPECT the plants or plant products after the exporter has met the requirement 3. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab <p>If it is not correctable, REFUSE to issue an FPC</p>
No import requirement		<ol style="list-style-type: none"> 1. GO to General Information of the EXCERPT summary (Ref. Step 1). Here, identify unrestricted commodities or general requirements that have to be met by all plants and plant products. 2. GO to the inspectional guidelines beginning on page 2.4.1 behind the Inspectional Guidelines tab

2

Export Certification
Manual

Methods And Procedures

Inspectional Guidelines

Contents

Introduction [page-2-4-1](#)
Special Inspectional Guidelines [page-2-4-1](#)
Compliance Agreements [page-2-4-1](#)
Prepare for Inspection [page-2-4-2](#)
General Inspectional Guidelines [page-2-4-3](#)

Introduction

The inspection and verification of plants or plant products offered for export determines whether or not the shipment meets the import requirements of the foreign country. Authorized Certification Officials (ACO's) should refer to the export summary of the foreign country **before** beginning their inspection. In addition, Authorized Certification Officials (ACO's) should review import permits (IP's) or special authorizations that were presented to ensure that the shipment meets any additional requirements listed in the documents.

Special Inspectional Guidelines

The inspectional guidelines in this subsection are general and can be used for a majority of the plants or plant products offered for export. Inspection and verification procedures that are specific for certain plants or plant products warrant special attention and are under the last three sections of Methods and Procedures. The special procedures cover the standardized inspectional guidelines for:

- ◆ Protected plants (ESA or CITES material)
- ◆ Mail exports
- ◆ Containerized oak lumber

Compliance Agreements

Compliance agreements (PPQ Form 519) are written understandings made among certain industries and USDA to assist in the certification of plants and plant products offered for export.

Compliance agreements may be appropriate in the area of establishing procedures for certification of cotton (see [Appendix H](#)).

Contact ES for approval prior to the development of compliance agreements.

Prepare for Inspection

During the preliminary assessment, one of the items received from the exporter is the tentative shipping date. When you know the shipping date, you can regulate the time of inspection based on the foreign country's requirements and your work schedule. Specific time limits are in export summaries. If a time limit is not specified, then the general time limit for inspections is not more than 30 days before export, **unless the export summary states it differently** (see [Figure 2-4-5](#)).

Arrangements for inspections are to be coordinated with the appropriate shipping official in order to determine the availability of the plants or plant products for inspection, their location, and the loading time. Inspections should not begin until the plants or plant products are all together, clearly marked, and labelled.

Overview of Procedures:

Procedures of general inspectional guidelines for plants or plant products are referenced in [Figure 2-4-1](#).

- ◆ "Step 1—Find Out if the Exporter Has an Acceptable Inspectional Certificate:" on [page-2-4-3](#)
- ◆ "Step 2—Determine if a Laboratory Examination Is Required:" on [page-2-4-5](#)
- ◆ "Step 3—Check the Shipping Date:" on [page-2-4-6](#)
- ◆ "Step 4—Decide What Sample Size to Inspect:" on [page-2-4-7](#)
- ◆ "Step 5—Compare the Shipment With Supporting Documents:" on [page-2-4-10](#)
- ◆ "Step 6—Inspect the Product:" on [page-2-4-11](#)
- ◆ "Step 7—Obtain the Identity of a Pest:" on [page-2-4-12](#)
- ◆ "Step 8—Find the Pest in the Summary:" on [page-2-4-12](#)
- ◆ "Step 9—Look for Unauthorized Packing Material:" on [page-2-4-14](#)
- ◆ "Step 10—Record the Results of the Inspection on PPQ Form 572, 577, or 579:" on [page-2-4-14](#)
- ◆ "Step 11—Prepare Export Certificates:" on [page-2-4-15](#)

FIGURE 2-4-1: Overview of general inspectional guidelines

General Inspectional Guidelines

Step 1—Find Out if the Exporter Has an Acceptable Inspectional Certificate:

That Would Preclude an Additional Inspection:

1. Find out if the exporter has an acceptable inspectional certificate from another agency or organization. The certificates listed in [Figure 2-4-1](#) can be accepted only if their inspectional procedures are routinely monitored by PPQ personnel **and the certificate is the original** (a faxed copy of the original may be accepted as the original when it is faxed directly from the issuing agency and the associated phytosanitary certificate number was marked on the original before it was faxed); then go to [Table 2-4-2](#) and decide whether or not you will waive the inspection based on that certification.

TABLE 2-4-1: Acceptable inspectional certificates

Issuing office:	Form:	Description and notes:
Agricultural Marketing Service (AMS)	FV-146	Certificate of Quality and Condition (Processed Foods)
	FV-147	Certificate of Quality and Condition (Processed Foods) Quality Assurance
	FV-149	Certificate of Quality and Condition (Processed Foods) Continuous Inspection
	FV-294 ¹	Report on Sanitary Inspection issued for apples, pears, Emperor grapes, and some vegetables
Federal Grain Inspection Service ²	FGIS-921	Inspection Report—Insects in Grain (should be used in conjunction with its log and/or appropriate certificate) ³
	FGIS-905-1	Official Sample—Lot Inspection ³
Federal Grain Inspection Service ²	FGIS-909	Official Export Grain Certificate ³
	FGIS-909-1	
	FGIS-909-2	
	FGIS-912	Bean Inspection Certificate ³
	FGIS 993	Commodity Inspection Certificate
Florida ¹	FV-185-C	Florida Export Citrus Fruit Inspection Report
Various States	State phytosanitary certificate	Can be used only to attest to the import requirements of a foreign country that cannot be ascertained at the time of export (e.g., growing season inspection, freedom from certain pests at the place of growing or production, specific origin)

- 1 In cases where the AMS form does not meet a country's phytosanitary requirements, it will be necessary to obtain a State phytosanitary certificate attesting to the requirements or conduct an additional inspection or treatment. For instance, if freedom from specific quarantine pests is required by a particular country and the pests are not listed on the FV Form 294 issued by the AMS, an additional phytosanitary inspection must be conducted before the fruit can be certified.

Also, specific statements may be required on the form relating to sampling guidelines and freedom from pests. For example, when fruit is being inspected for Colombia, Brazil, or Venezuela, the following statement is required on the form: "This fruit was inspected for exports to (enter destination country) and was found free of codling moth, San Jose scale, and apple maggot. The rate of inspection was 2 percent with 1 percent of that being cut."

- 2 **CAUTION:** The following certificates issued by FGIS are **unacceptable**:

IN-415, Official Certificate, Warehouseman's Sample—Lot Inspection
FGIS-914, Official Certificate, Submitted Sample Inspection
FGIS-915, Official Stowage Examination Certificate
FGIS-916, Official Certificate

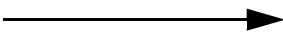
- 3 See "Appendix D" on [page D-1-1](#) for a sample of the Certificate or Report and a list of contacts for other agencies or organizations.

Also, specific statements may be required on the form relating to sampling guidelines and freedom from pests. For example, when fruit is being inspected for Colombia, Brazil, or Venezuela, the following statement is required on the form: "This fruit was inspected for exports to (enter destination country) and was found free of codling moth, San Jose scale, and apple maggot. The rate of inspection was 2 percent with 1 percent of that being cut."

2. Decide whether or not an additional inspection (beyond verification) is necessary. Base your decision on:
 - ❖ The presence (or absence) of an acceptable inspectional certificate from another agency or organization
 - ❖ The import requirements specified by the foreign country
 - ❖ The credibility of the agency that conducted the inspection
 - ❖ The reliability of the statements made on the certificate

Use [Table 2-4-2](#) to take the appropriate action.

TABLE 2-4-2: Regulating Previously Inspected Plants or Plant Products

If the exporter:	And you decide:	Then:
Has an inspectional certificate from another office or agency	Only to verify the contents of the shipment (relying on the certificate issued by another office or agency for your inspection)	VERIFY the shipment, and go to page 2.5.1 for preparing the FPC
	To conduct an additional inspection	GO to Step 2
Lacks an inspectional certificate		

Step 2—Determine if a Laboratory Examination Is Required:

Determine if a laboratory examination is required by the foreign country as a condition of entry for eligible plants or plant products or if a laboratory examination is needed to determine if a plant or plant product is free of the specified plant pest (e.g., bacteria, fungi, nematodes, viruses). Use **Table 2-4-3** to take the appropriate action.

TABLE 2-4-3: Regulating Plants or Plant Products That May Require a Laboratory Examination

If a laboratory or microscopic examination is:	Then:
Required or advisable	GO to Step 3
Not required	GO to Step 4

Step 3—Check the Shipping Date:

Check the shipping date to make sure there is enough lead time to have the plants or plant products examined in a laboratory. Use [Table 2-4-4](#) to take the appropriate action.

TABLE 2-4-4: Regulating Plants or Plant Products That Require a Laboratory Examination

If there is:	Then:
Not enough lead time ¹	<ol style="list-style-type: none">1. INFORM the exporter to apply for official sampling far enough in advance of the shipping date to allow for the laboratory examination2. RESCHEDULE inspection to fit new shipping date to allow enough lead time
Enough lead time*	<ol style="list-style-type: none">1. DRAW an official sample of the plants or plant products (refer to factors listed on page 2.4.7)2. SEND the official sample to the nearest identifier, university or public laboratory, or an accredited laboratory as conditions warrant (Go to the following URL for information on laboratory accreditation: http://www.aphis.usda.gov/ppq/pim/accreditation/) or go to “Appendix Q” on page-Q-1-13. KEEP the exporter informed of delays that may arise from laboratory examination4. CHECK the accuracy of the shipment against the supporting documents5. GO to Step 4

- 1 Lead time refers to the amount of time needed to inspect or examine a shipment before its shipping date. (Other countries interpret “shipping date” as the date a commodity physically leaves the exporting country.) Advise exporters they must export plants and plant products within the prescribed time limits following inspection. Time limits are referenced in [Figure 2-4-5](#).

TABLE 2-4-5: Time Limits Between Inspection or Date of Issue and Shipping Date

If the country is:	Then:
Austria, Belgium, Denmark Finland, France, Germany, Greece, Ireland (Republic of), Italy, Luxembourg, Netherlands, Portugal, Spain, Sweden, or United Kingdom, Estonia, Hungary, Latvia, Slovenia, or Switzerland	The maximum time limit between the date of issue and shipping date is 14 calendar days
Canada, Czech Republic, Hong Kong, Israel (propagative articles), Malaysia, Malta, New Zealand, Panama, South Africa, Poland, or Norway	The maximum time limit between inspection and the shipping date is 14 calendar days
Cyprus, Colombia	The maximum time limit between inspection and the shipping date is 10 calendar days
Yugoslavia	The maximum time limit between inspection and the shipping date is 15 calendar days
Romania, or Turkey	The maximum time limit between inspection and the shipping date is 20 calendar days
Other than those listed above	The maximum time limit between inspection and the shipping date is 30 calendar days



Do not issue export certificates if the time limit between inspection (or date of issue for EU countries) and the shipping date has been exceeded unless the shipper presents a bill of lading showing the plant or plant product was shipped within the prescribed time limit.

Step 4—Decide What Sample Size to Inspect:

If an agricultural commodity for export is issued a phytosanitary certificate, then the commodity must be inspected. Decide if you are going to inspect the entire shipment or an officially drawn sample. Guide your decision by the following factors:

- ◆ Type of plants or plant products
- ◆ Existing guidelines
- ◆ Size of shipment
- ◆ Knowledge of the pest conditions and pest distribution where the plants or plant products were grown and produced
- ◆ Import requirements of the foreign country
- ◆ The directions provided to you by your port

Samples from the shipment of plants or plant products must be drawn by the Authorized Certification Official (ACO) or other designated personnel. The sample may be drawn by any of the following agencies or organizations:

- ◆ Federal, State or county regulatory personnel for all plants or plant products
- ◆ Federal Grain Inspection Service (FGIS) for grain and grain products
- ◆ State seed certification agencies or university/county Extension Service personnel for grain and grain products when under extenuating circumstances and by prior arrangement by the PPQ.

When sampling is the basis for certification, samples drawn must be large enough to represent the entire lot and must be of a nature to accurately reflect the conditions of the entire shipment.

The minimum inspection level for fruits and vegetables is 2 percent of the shipment's inspectional unit, i.e., boxes, units, bags, tray packs, etc. For example, a shipment of 400 boxes of fruit would require a minimum complete examination of 8 boxes ($.02 \times 400 = 8$ boxes). Two percent is a minimal standard. Plant material, e.g., nursery stock, as well as other high risk material should be inspected at a higher level, 100 percent if practical. Commodities shipped in bulk, e.g., grain or potatoes, will require sampling techniques appropriate to the levels of pest risk and industry standards. This may be less than 2 percent. Consult the appropriate State or Federal regulatory officials for these inspectional levels.

Only officially drawn seed samples may be used for phytosanitary certification purposes. This may include samples for weed seed examination, laboratory analysis for pathogens, or insect examination. Seed samples drawn by a seed company or other industry representatives are not permitted. ([Table 2-4-6, “: Determining Sample Size,” on page-2-4-9](#)).



Phytosanitary Note #791, dated 02/08/95, clarifies the APHIS policy concerning the certification of seed for export.

Phytosanitary Note #803, dated 05/18/95), clarifies the APHIS policy concerning certification of grain for freedom from disease causing organisms.

TABLE 2-4-6: Determining Sample Size

If you:	Then:
Inspect 100 percent of the shipment	GO to Step 5
Inspect only a portion of the shipment	<ol style="list-style-type: none"> 1. DETERMINE your representative sample using the following factors: <ul style="list-style-type: none"> ◆ Existing PPQ guidelines (import manuals for seeds, fruits and vegetables, and cut flowers) ◆ Quantity of material ◆ Area where the product was grown or produced ◆ Requirements of the foreign country ◆ Your previous experience with similar shipments 2. OBSERVE safety precautions (see Figure 2-4-2) 3. DRAW an official sample of the plants or plant products 4. GO to Step 5
Require an additional sample for laboratory examination	<ol style="list-style-type: none"> 1. DETERMINE your representative sample using the following factors: <ul style="list-style-type: none"> ◆ Existing guidelines (import manuals for seeds, fruits and vegetables, and cut flowers) ◆ Quantity of material ◆ Area where the product was grown or produced ◆ Requirements of the foreign country ◆ Your previous experience with similar shipments 2. OBSERVE safety precautions (see Figure 2-4-2) 3. DRAW an official sample of the plants or plant products 4. SEND the official sample to the nearest identifier or authorized laboratory as conditions warrant 5. GO to Step 5

Safety Precautions—Check the label and invoice to learn if the plants or plant products were treated and with what. If you are unfamiliar with the pesticide used, attempt to get a pesticide label or description. If the exporter or the exporter's agent cannot supply a label or description of the pesticide used, then refuse to sample or inspect and then contact your supervisor. Check the label or description for special instructions regarding exposure. If examining seed, assume that brightly colored seed was treated—regardless of what the label says. Blue, orange, and pink colors confirm that the seed was treated. A powdery residue on the seed indicates it may have been treated.

Safety Procedures—

- ◆ If the material was treated or you feel uncertain—then use plastic gloves and a cartridge type dust mask. If you are continuously working with dusted seed, then replace the cartridge every 2 hours. If you are sensitive or allergic to chemicals, use a canister respirator instead of a dust mask.
- ◆ If there is the possibility of getting chemicals on your clothes, you must wear protective coveralls. Separately launder the coveralls after each use.
- ◆ If there is a possibility of getting pesticide in your eyes, you must wear eye protection.
- ◆ Avoid wiping your mouth, nose, or eyes with your hands.
- ◆ Wash your hands, face, and arms with soap and water immediately after sampling or inspecting treated material.
- ◆ If tools were used in the sampling or examination, then wipe them off after each use.
- ◆ If examining treated seed, then the PPQ pathologist should use the wet method technique for seed examination.

Keep Informed—It is possible to safely inspect seed that has been treated. Potential illness can be prevented! Well informed officers are more likely to take precautionary measures in handling treated seed, and these officers contribute to PPQ's excellent safety record. (For additional information on safety, see *Pesticide Safety* in the *PPQ Treatment Manual*)

FIGURE 2-4-2: Safety precautions

Step 5—Compare the Shipment With Supporting Documents:

Compare the type of the plants or plant products, the quantity, and the distinguishing marks and numbers with the supporting documents to see if they agree. Use [Table 2-4-7](#) to take the appropriate action.

TABLE 2-4-7: Verifying That Plants or Plant Products Agree With Supporting Documents

If:	And the exporter:	Then:
Supporting documents and the plants or plant products agree	→	GO to Step 6
Differences are found (allow the exporter to correct the discrepancies)	Corrects the discrepancies	
	Does not correct the discrepancies	REFUSE to issue an FPC

Step 6—Inspect the Product:

Inspect the product for pests (general pests, those usually associated with that host, and those pests specifically listed in the summary or the foreign country of the IP). Use [Table 2-4-8](#) to take the appropriate action.

If possible, seed shipments should be inspected prior to treatment. If you inspect treated seed, take the necessary safety precautions. Look for insects, weed seed, ergot, etc. Requirements for laboratory testing must be met prior to seed treatment. Seed can not be certified based only on the fact that it is treated and/or vacuum packed. Appropriate seed sampling and inspection must always be conducted. (See APHIS, PPQ Plant Import-Propagative manual for guidelines on sampling shipments of seed packets and vacuum packed cans.)

Pelletized seed can not be certified unless the inspection is conducted prior to treatment.

TABLE 2-4-8: Regulating Plants or Plant Products That May Have Pests

If pests are:	Then:
Present	<ol style="list-style-type: none"> 1. TELL the exporter of the pest infestation/infection when you anticipate a delay to allow for identification and/or reconditioning 2. IDENTIFY the pest by scientific name 3. GO to Step 7
Absent	GO to Step 9

Step 7—Obtain the Identity of a Pest:

Obtain the identity of the present pest. Use [Table 2-4-9](#) to take the appropriate action.

TABLE 2-4-9: Identifying Plant Pests

If you are a:	And you:	Then:
PPQ officer	Have identification authority for the pest	GO to Step 8
	Cannot identify the pest or you lack identification authority for the pest	1. COMPLETE a PPQ Form 309 or 309a 2. SEND the pest to the nearest identifier for identification 3. INFORM the exporter of the delay 4. GO to Step 8
State or county cooperator	Have identification authority for the pest	GO to Step 8
	Cannot identify the pest or you lack identification authority for the pest	1. SEND the pest to the nearest State or Federal identifier for identification 2. INFORM the exporter of the delay 3. GO to Step 8

Step 8—Find the Pest in the Summary:



After a pest is identified, check the EXCERPT summary of the foreign country and/or the import permit (IP) and determine if the pest is one of the following:

- ◆ **Quarantine significant** to the foreign country, OR
- ◆ Recognized as being an injurious plant pest. **We must comply with the certifying statement on the FPC, which includes the statement “considered to be free from quarantine pests.” In addition, it is APHIS policy to continue to inspect and certify consignments practically free¹ from other injurious pests.**

¹ As a working definition for export certification purposes, **practically free** means not to exceed a 2 percent infestation level unless otherwise stated by the importing country. Also, **practically free** refers to a judgement that the pests are not in excess of the amount expected to result from, and be consistent with good culturing and handling practices employed in the production and marketing of the commodity. When FGIS certificates are used as supporting documentation for certifying grain, **practically free** refers to FGIS acceptance standards for weevils found in grain.

Use [Table 2-4-10](#) to determine your action if a plant pest is found in the shipment.

TABLE 2-4-10: Regulating Plants and Plant Products That Have Quarantine Significant Pests

If the pest is:	And considered to be:	And found under a:	Then:
Listed in EXCERPT as being quarantine significant to the foreign country			GO to Table 2-4-11 and determine the appropriate action
Not listed in EXCERPT as being quarantine significant to the foreign country	Injurious to the commodity	Practically free condition ¹	GO to Step 9
		Not practically free condition ¹	GO to Table 2-4-11 and determine the appropriate action
	Not injurious to the commodity		GO to Step 9

- 1 As a working definition for export certification purposes, **practically free** means not to exceed a 2 percent infestation level unless otherwise stated by the importing country. Also, **practically free** refers to a judgement that the pests are not in excess of the amount expected to result from, and be consistent with good culturing and handling practices employed in the production and marketing of the commodity. When FGIS certificates are used as supporting documentation for certifying grain, **practically free** refers to FGIS acceptance standards for weevils found in grain.

If the infestation is of quarantine importance or is to an extent that the shipment cannot be considered practically free, then refuse certification until reconditioning or treatment can take place. Use [Table 2-4-11](#) to determine your action when considering treatment of an infested or infected shipment.


TABLE 2-4-11: Regulating Plants and Plant Products When a Treatment for Pests May Be Considered

If a treatment is:	Then:
Available for the pest and the treatment is acceptable by the foreign country	<ul style="list-style-type: none"> ◆ ALLOW the exporter to treat the plants or plant products ◆ SUPERVISE the treatment NOTE: No mention of the pest is to be made on the certificate. Details of the treatment are to be recorded on the PFC ◆ GO to Step 9
Unavailable for the pest or the treatment is unacceptable to the foreign country as a condition of entry	REFUSE to issue an FPC

Step 9—Look for Unauthorized Packing Material:

Look for unauthorized packing material, bagging, containers, and soil. Use [Table 2-4-12](#) to take appropriate action.

TABLE 2-4-12: Regulating Plants or Plant Products That Have Unauthorized Packing Material

If the shipment is:	And the exporter:	Then:
Free from soil and unauthorized packing material, bagging, or containers		GO to Step 10 , and record the details of your inspection
Contaminated with soil or unauthorized packing material, bagging, or containers were used	Cleans, treats, and/or reconditions shipment	REFUSE to issue an FPC
	Refuses to clean, treat, or recondition shipment	

Step 10—Record the Results of the Inspection on PPQ Form 572, 577, or 579:

Record the results of the inspection and additional information about the export that will help determine if you will certify the plants or plant products.

The inspectional information that must be recorded on PPQ Form 572, 577, or 579 is:

- ◆ Place (port and location) where the product was inspected
- ◆ Percentage of material inspected
- ◆ Percentage of material infested or infected
- ◆ Pests intercepted and/or treatments given
- ◆ Actions taken by the exporter, as a result of the inspection, to make the plants or plant products eligible for certification, such as repackaging, reconditioning, or debarking
- ◆ Any unusual situations concerning the shipment
- ◆ Your name
- ◆ Date and time of the inspection

Use [Table 2-4-13](#) to determine where to record the results of the inspection and additional information.

TABLE 2-4-13: Recording Results of Inspection

If you have:	Then:
A PPQ Form 572, Application for Certification	1. RECORD your inspection results in the section entitled, "Export Inspection Data," and ATTACH the application to the issuing office copy of the certificate 2. CONTINUE to Step 11
Only a PPQ Form 577 or PPQ Form 579, Federal Export Certificate	1. RECORD your inspection results on the reverse side of the issuing office copy of the certificate 2. CONTINUE to Step 11

Step 11—Prepare Export Certificates:

After recording the results of the inspection, conclude the certification process by completing and issuing the proper certificate. Use [Table 2-4-14](#) to determine where to find instructions for completing the appropriate forms.

TABLE 2-4-14: Completing Certification Forms

If you are certifying:	Then:
Domestic plants or plant products	GO to page 2.5.1 to complete PPQ Form 577, Federal Phytosanitary Certificate ¹
Foreign plants or plant products	GO to page 2.6.5 to complete PPQ Form 579, Reexport Certificate ¹

- 1 If you are a **PPQ officer**, refer to Appendix 1, Fees and Costs, for collecting user fees for export certificates.

If you are a **State or county cooperator**, refer to local policy for collecting user fees, if applicable.

2

Export Certification
Manual

Methods And Procedures

Federal Phytosanitary Certificate, PPQ Form 577

Contents

Introduction	page-2-5-1
Heading	page-2-5-2
Certification	page-2-5-3
Description of Consignment	page-2-5-5
Additional Declaration	page-2-5-8
Authorization	page-2-5-12
General Guidelines for Completing Certificates	page-2-5-12
Distribution	page-2-5-14
Maintenance	page-2-5-15

Introduction

The Federal Phytosanitary Certificate (FPC) is an accountable inspection certificate used to certify domestic plants and unprocessed or unmanufactured plant products for export (see [Figure 2-5-1](#) for a sample of an FPC).



Never issue an FPC for domestic products moving to American Samoa, Commonwealth of the Northern Mariana Islands, Guam, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John). State phytosanitary certificates may be used instead. Also, **if U.S. and foreign commodities are blended to the extent that their identity has been lost, an FPC-R (PPQ Form 579) must be used.**

The intended purpose of the FPC is to expedite the entry of domestic plants or plant products into a foreign country. Authorized Certification Officials (ACO's) are responsible for holding, in strict confidence, the information in these documents, collecting user fees, and maintaining an accountability system for them. Details about confidentiality, accountability, and the purpose of the FPC can be found in the Glossary of this manual. Guidelines for collecting user fees by PPQ officers are detailed in [Appendix A, "Fees and Costs" on page-A-1-1](#).

To clarify the preparation of the FPC, the form is divided into six parts.

- ◆ Heading
- ◆ Certification
- ◆ Disinfestation and/or Disinfection Treatment

- ◆ Description of the Consignment
- ◆ Additional Declaration
- ◆ Authorization (signature)

The following give specific instructions, techniques, and examples on how to complete the certificate. Also included are general guidelines for completing, correcting, replacing, superseding, and voiding certificates. Guidelines for determining regulatory action when a Federal Phytosanitary Certificate has been altered in violation of 7CFR 353 are included in [“Appendix N” on page-N-1-1](#) (Certification Violations).



Make sure all copies of certificates are legible. Certificates must be typed, computer- printed, or completed in hand-printed uppercase letters. Use only English to fill in a certificate. Foreign words or phrases are not allowed, except the Latin binomial names of products and plant pests.

Heading

Block Titled “TO: THE PLANT PROTECTION ORGANIZATION(S) OF”:

Fill in the approved name of the foreign country indicated on the front page/top of screen of the EXCERPT summary. The country entered here **MUST** be the same as the country identified in the name and address of the consignee.

Block Titled “PLACE OF ISSUE”:



Write the city and State of the issuing office. Write out the complete names; do not abbreviate.

Block Titled “NO: FPC”:

All FPC’s are pre numbered to deter forgeries. A certificate is to be validated only by the work unit (issuing office) accountable for the certificate. No additional number should be entered here.

Block titled “DATE INSPECTED”:

Enter the actual date(s) of the final export inspection. **SPELL OUT** the month, such as January 1, 1995. **Never use numbers for months.** In most cases, final export inspections of consignments are to be conducted within 30 days of the intended shipment.

Heading	No phytosanitary certificate can be issued until an application is completed (7 CFR 353)		See reverse for additional OMB information.		FORM APPROVED OMB NO. 0579-0052
	UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE PHYTOSANITARY CERTIFICATE TO: THE PLANT PROTECTION ORGANIZATION(S) OF		FOR OFFICIAL USE ONLY PLACE OF ISSUE NO.: FPC 6432651 DATE INSPECTED		
Certification	CERTIFICATION This is to certify that the plants, plant product or other regulated articles described herein have been inspected and/or tested according to appropriate official procedures and are considered to be free from the quarantine pests, specified by the importing contracting party and to conform with the current phytosanitary requirements of the importing contracting party including those for regulated non-quarantine pests.				
Disinfestation and/or Disinfection Treatment	DISINFESTATION AND/OR DISINFECTION TREATMENT				
	1. DATE		2. TREATMENT		
	3. CHEMICAL (active ingredient)		4. DURATION AND TEMPERATURE		
Description of the Consignment	5. CONCENTRATION		6. ADDITIONAL INFORMATION		
	DESCRIPTION OF THE CONSIGNMENT				
	7. NAME AND ADDRESS OF THE EXPORTER		8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE		
	9. NAME OF PRODUCE AND QUANTITY DECLARED		10. BOTANICAL NAME OF PLANTS		
	11. NUMBER AND DESCRIPTION OF PACKAGES		12. DISTINGUISHING MARKS		
	13. PLACE OF ORIGIN		14. DECLARED MEANS OF CONVEYANCE		
Additional Declaration			15. DECLARED POINT OF ENTRY		
	WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to \$250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).				
Authorization	ADDITIONAL DECLARATION				
					
	16. DATE ISSUED		17. NAME OF AUTHORIZED OFFICER (Type or Print)		18. SIGNATURE OF AUTHORIZED OFFICER
No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.					
PPQ FORM 577 FEB 2001 Previous editions are obsolete after 6/30/01					

PART 1 - SHIPPER'S ORIGINAL

FIGURE 2-5-1: Sample of Phytosanitary Certificate, PPQ Form 577

Certification

This section describes certification responsibilities as dictated by the International Plant Protection Convention. **Do Not Write In This Space.**

Additionally, APHIS will continue its policy to inspect and certify

consignments practically free from other injurious pests.

Disinfestation and/or Disinfection-Treatment

Complete this section only if the product being certified was treated under official supervision. If an official treatment was conducted, then enter the full treatment schedule. Never abbreviate with entries such as “Fumigant” or “T101.” If no official treatment was conducted, line out the blank blocks in this section by drawing two diagonal lines from left to right (see **Figure 2-5-2**).

The figure shows a rectangular box representing the treatment section of PPQ Form 577. Inside the box, the title "DISINFESTATION AND/OR DISINFECTION TREATMENT" is centered at the top. Below the title, there are four rows of labels followed by horizontal lines for data entry. The labels are: "Date:", "Treatment:", "Chemical (active ingredient):", and "Concentration:" on the left side, and "Duration and Temperature:" and "Additional Information:" on the right side. Two diagonal lines are drawn across the entire section, starting from the top-left corner and extending to the bottom-right corner, effectively crossing out all the text and lines within the box.

FIGURE 2-5-2: Example of the treatment section of PPQ Form 577 that has been lined out because an official treatment was not conducted

Block 1. DATE:

Enter the actual date of the treatment.

Block 2. TREATMENT:

Enter the kind of treatment, for example, fumigation, kiln drying, cold treatment, dip, spray. Line out this block if not used.

Block 3. CHEMICAL (active ingredient):

Write the name of the chemical.

Block 4. DURATION AND TEMPERATURE:

Write the duration of the treatment and temperature.

Block 5. CONCENTRATION:

Write the concentration of chemicals.

Block 6. ADDITIONAL INFORMATION:

Information that would further identify the treatment. For example, dip, slurry, dusted, sprayed.

Description of Consignment

Block 7. NAME AND ADDRESS OF THE EXPORTER:

Write the complete name and address (street/P.O. Box, City, State) of the exporter. The exporter's address **MUST** be in the United States or a U.S. territory or commonwealth, which includes American Samoa, Guam, Northern Mariana Islands, U.S. Virgin Islands, and Puerto Rico. Telephone and facsimile numbers are permissible.



Never enter more than one exporter's name and address in this block.

Block 8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE (the person or company taking delivery of the commodity):

If possible, write the complete name and address of the consignee, but minimally include the complete name, city, and country. (Telephone number and fax numbers of the consignee are permissible.) The consignee's address must be in the country listed in the block titled "TO: THE PLANT PROTECTION ORGANIZATION(S) OF."



Never enter more than one consignee's name and address in this block. Also, it is inappropriate to use statements such as "In-care-of" (c/o), "Attention to:", "Agent for", or "Notify" in the consignee block (Block 8) because it would be in violation of the policy of entering more than one consignee's name and/or address in this block.

Block 9. NAME OF PRODUCE AND QUANTITY DECLARED:¹

Enter the common name to precisely identify the product:

- ◆ Enter the specific grain, such as oats or corn, if seed is for animal feed
- ◆ Enter seed if the seed is for planting
- ◆ Enter grain if the seed is for consumption
- ◆ Enter fresh or dried beans if the beans are for consumption
- ◆ Spell out abbreviations, for example; "KD" should be "Kiln Dried"

For propagative articles **other than seed**, list the number of each different plant or plant product followed by the name of the plant or plant product. For example, if there are four cartons of anemone bulbs

¹ This is a critical area. Never make corrections in this critical block unless directed otherwise in the export summary.

and each carton contains 200 bulbs, then enter 800 bulbs. For bulk shipments, show the weight for a product if it will better reflect the description.

Entries in this block should **not** refer to the following:

- ◆ trade names
- ◆ intended use
- ◆ sizes
- ◆ grades
- ◆ other commercial terms

No corrections are permitted in this block **except** where specifically mentioned in an export summary. **Line out any unused space in this block.** If there's not enough space to list all entries, refer to the general guidelines for completing attachments beginning on page 2.5.12.

Block 10. BOTANICAL NAME OF PLANTS:²

Enter the scientific name. The scientific name should include the genus and the specific epithet (species classification). The scientific name is mandatory for certifying propagative material and preferred, if not required, for all other products. (e.g., New Zealand requires the scientific name for all products that are certified.) **No corrections** are permitted in this block except where specifically mentioned in an export summary.



Propagative material (such as plants, trees, shrubs, or seeds) being certified for export should be identified to genus and species on the certificate. **Never** identify a product (propagative or non-propagative) to a level below the species classification (e.g., variety, cultivar), unless a level below the species classification is required in the Product Requirements section of EXCERPT. The exporter is responsible for giving the Authorized Certification Official (ACO) the scientific name. Authorized Certification Officials (ACO's) are to verify the scientific name to the best of their ability.

Block 11. NUMBER AND DESCRIPTION OF PACKAGES:³

Enter the number and types of shipping containers, for example, wooden crates, cardboard cartons, and burlap bags. Bulk shipments should be shown as "In Bulk." **No corrections** are permitted in this block except where specifically mentioned in an export summary.

-
- 2 This is a critical area. Never make corrections in this critical block unless directed otherwise in the export summary.
- 3 This is a critical area. Never make corrections in this critical block unless directed otherwise in the export summary.

Block 12. DISTINGUISHING MARKS:⁴

Enter the markings applied to sea containers, shipping containers, cartons, bags, bales, boxes, products, truck licenses, or railway cars. The marks should appear in this block as they appear on the product. "As Addressed" or "As Marked" are unacceptable statements. If there are no distinguishing marks, enter "None." **No corrections** are permitted in this block **except** where specifically mentioned in an export summary.

Block 13. PLACE OF ORIGIN:

Write where the product was grown or cultivated by State, county, district, or other geographical or political subdivision as necessary by the phytosanitary regulations of the importing country. Authorized Certification Officials (ACO's) can require whatever document is needed to verify origin. **Spell out** names of States and counties if these are listed. Indicate "USA" in cases where the phytosanitary regulations of the importing country (e.g. EXCERPT, Import Permit, etc.) **do not** require a more definitive designation of origin such as State, county, pest free area, etc.

It is **not** permissible to leave the "Place of Origin" blank. If further refinements are **not** required by the importing country's phytosanitary regulations, then this block must indicate "United States of America" or "U.S.A."

Block 14. DECLARED MEANS OF CONVEYANCE:

Write the airline or the name of the vessel. (For rail or truck shipments to Canada and Mexico, write the name of the railroad or truckline, if known.) Also acceptable is to write the vessel name and add "or substitute." If the name of the airline, vessel, railroad, or truckline is unknown, use "airfreight," "ocean vessel," "railroad," or "truckline." Show mail shipments as "airmail" or "surface mail."

Block 15. DECLARED POINT OF ENTRY (POE):

Write the point of entry (POE) designated by the exporter (the POE should be the first point on entry in the destination country). Check in the export summary to see if the designated POE is authorized. If it is not, warn the exporter that the shipment may be delayed or refused entry. Enter "unknown" if a specific POE is not designated by the exporter or statements such as Greek port(s) or unknown Turkish port(s). Authorized Certification Officials (ACO's) can enter multiple ports. **Spell out** names of cities.

⁴ This is a critical area. Never make corrections in this critical block unless directed otherwise in the export summary.

Additional Declaration

Block Titled “ADDITIONAL DECLARATION”:⁵

Additional declarations (AD's) are to be kept to a minimum and are usually based upon phytosanitary requirements of the foreign country. **Line out** the certificate using the following examples as guides.

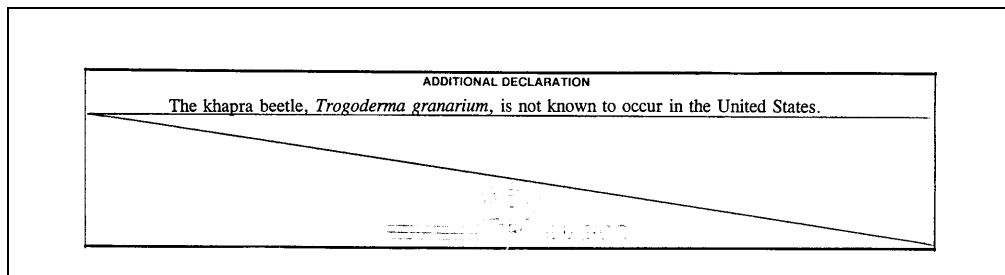


FIGURE 2-5-3: Example of how to line out the appropriate section of PPQ Form 577 when an AD is present

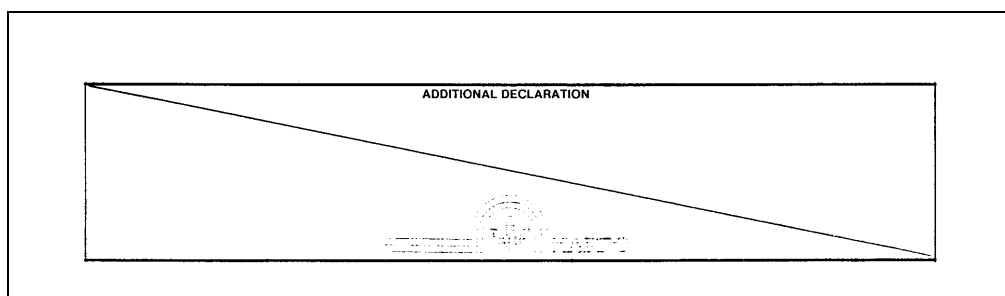


FIGURE 2-5-4: Example of how to line out the appropriate section of PPQ Form 577 when an AD is not required

Acceptable Additional Declarations (AD's):

An AD may be made in the following eight instances:

1. The summary specifically states that an AD is required.
2. An import permit (IP) or import license issued by the plant protection service of the foreign country and presented by the exporter indicates that an AD is required. (Include the permit or license number in the AD.)

EXCEPTIONS to instances 1. and 2. above are noted in **Figure 2-5-5.**

⁵ This is a critical area. Never make corrections in this critical block unless directed otherwise in the export summary.

When certifying shipments of bulk grain, if a pathogen occurs in the United States, **NEVER** attest to freedom or apparent freedom from plant disease causing organisms. Since it is impractical to inspect parent plants during active growth in the field or to analyze selected grain samples in the laboratory, APHIS policy prohibits making such statements as AD's.

This prohibition applies regardless of whether the requirement is stated in a country's published plant protection legislation, an IP, or letter of credit/contract.

Conversely, Authorized Certification Officials (ACO's) may attest to freedom or apparent freedom from plant disease causing organisms **only if** the pathogen is **not** known to occur in the United States. In such cases, write the AD using the following form:

"_____ is not known to occur in the United States."

(Enter the name of the pathogen that is **not** known to occur in the United States)

Here's what such a statement might look like (it's an example only):

"*Cephalosporium maydis* and *Peronosclerospora maydis* are not known to occur in the United States."

FIGURE 2-5-5: Exceptions to acceptable AD's

3. A letter of authorization from the plant protection service of the foreign country and presented by the exporter indicates that an AD is required. (Refer to the letter of authorization in the AD.)
4. The importer is a government agency that has a commercial contract with the exporter. (Refer to the contract in the AD.)
5. There is information you believe the plant protection service of the importing country should have. For example:
 - A. A required import permit (IP) was or was **not** presented by the exporter for a non prohibited, restricted product.
REMINDER: IP's must be presented to you if the product is prohibited by the importing country.

EXAMPLE: "Import Permit Number 376 was presented," or "No Import Permit was presented."

- B. An Authorized Certification Official (ACO) is replacing a previously issued phytosanitary certificate because of corrections, lost certificate, or cancelled certificate—state the replaced certificate's number, date of issuance, issuing office, and the reason for replacing it. See the general guidelines for completing certificates and more information and examples of AD's, beginning on page 2.5.11.
- C. An Authorized Certification Official (ACO) is attaching a document to the FPC because it has a direct bearing on the description of the shipment **and** is of a phytosanitary nature. When any attachment is made, refer to it in an AD.



A copy of the attachment should be with each copy of the FPC.

Except for the items of concern listed previously (1. through 4.), AD's must be required by a foreign country as is implied in 5.a. through c. Under no circumstances is an AD to be placed on a PC to satisfy letter of credit requirements or other forms of unofficial requests that may be received from buyers and sellers. However, there are instances when an AD concerning a particular pest required by a foreign country can be amended. Two instances are: 1) When the shipment is free from a pest known to occur in an area of production, and 2) When the pest of concern is **not** known to occur in an area of production or in the United States. (See 6 and 7, which follows.)

6. When allowed by the importing country, a commodity can be declared free from pests based on inspection or the fact that the pest is not known to occur in the area of production. Below are two examples of AD's that attest that the shipment is free from a pest known to occur in an area of production. The third example is an AD that states the pest is not known to occur in the area of production.

EXAMPLE: "Based upon inspection, the shipment is free from Colorado potato beetle."

"Parent plants were inspected during active growth and found free from bacterial wilt, *Xanthomonas stewartii*."

"Japanese beetle, *Popillia japonica*, is **not** known to occur in the State of California."

7. When the pest of concern is **not** known to occur in the United States, indicate in the AD that the pest is **not** known to occur in the United States. Authorized Certification Officials (ACO's) must obtain information about pest distribution from reliable sources. Doubtful cases should be referred to Port Operations (PO), through channels. Below are some examples of AD's attesting to absence of a pest rather than freedom from the pest.

EXAMPLE: "Potato wart, *Synchytrium endobioticum*, is **not** known to occur in the United States." "The khapra beetle, *Trogoderma granarium*, is **not** known to occur in the United States."

8. When there is not enough space on the certificate, list the information on a separate sheet of paper indicating the FPC number and the date of issuance. Check the list for accuracy, sign it, and attach a copy to each copy of the certificate. Place an AD on the certificate referring to the attachment.

Authority for Making AD's:

Exporters or their agents should **not** be permitted to enter AD's on certificates. The exception is when the unit's workload doesn't allow an Authorized Certification Official (ACO) to complete the certificate. In this case, an Authorized Certification Official (ACO) must dictate to the exporter the required AD. Check the wording of the AD for accuracy at the time the certificate is presented for authentication.

Prohibited Statements:

Do not put anything on the certificate that is **not** of a phytosanitary nature such as economic permits, quantity or quality restrictions, or methods of packaging. Below are frequently requested statements that are not to be entered on the certificate as AD's. **Never enter AD's on the PC that refer to the following:**

- ◆ Grade and/or quality
- ◆ Fitness for human consumption
- ◆ For shipments of bulk grain, freedom from plant disease causing organisms when a pathogen occurs in the United States
- ◆ Pesticide or other chemical residues
- ◆ Freedom from animal diseases⁶
- ◆ Levels of radioactivity, nuclear radiation, or radionuclides associated with a commodity⁷
- ◆ Genetic composition and/or disease resistance
- ◆ Aflatoxins or other mycotoxins
- ◆ Intended use such as, "for scientific purposes"
- ◆ Letter of credit number

6 If asked to certify freedom from animal diseases, refer the exporter to the PPQ Staff Veterinarian's Office. Letterhead statements are used to attest the freedom from specific animal diseases. Such statements are not to be attached to the FPC.

7 If asked to attest to the absence of abnormal radioactive contaminant levels, refer the exporter to the Office of Food Safety and Technical Service, USDA/FAS OFSTS, Room 5545, South Agricultural Building, 14th and Independence Ave., SW, Washington, DC 20250. The telephone number of this facility is (202) 720-1301.

- ◆ Advice number
- ◆ Import reference number
- ◆ Import tariff item number
- ◆ Authorization number (not to be confused with a letter of authorization from the plant protection service of the importing country)
- ◆ Letter of commitment number
- ◆ Purchase contract number
- ◆ References pertaining to a permit or a permit number issued by the Division of Management Authority for protected plant species
- ◆ References to artificially propagated or wild collected plants

Authorization

Block 16. DATE ISSUED:

Enter the date when the certificate is issued in contrast to the date of inspection. **SPELL OUT** the month (January 1, 1995). **Never use numbers for months.**

Block 17. NAME OF AUTHORIZED OFFICER (Type or Print):

Type or print in the name of the Authorized Certification Official (ACO) who will sign the FPC. Do **not** add titles.

Block 18. SIGNATURE OF AUTHORIZED OFFICER:

Sign your name (**no stamped signatures**). Only Authorized Certification Officials (ACO's) can sign an FPC. Only one original signature is authorized. Do **not** sign multiple copies of a certificate. (If a number of "originals" is needed, have the exporter make copies and suggest that they be notarized by a Public Notary as true copies of the original.)

General Guidelines for Completing Certificates

Making Corrections:

Do **not** permit errors on the certificate when the regulations of the foreign country state that certificates may contain no errors.

Never make corrections in the critical blocks on the certificate unless directed otherwise in the export summary. The critical blocks identify the:

- ◆ Name of Produce and Quantity Declared (Block 9)

- ◆ Botanical Name of Plants (Block 10)
- ◆ Number and Description of Packages (Block 11)
- ◆ Distinguishing Marks (Block 12)
- ◆ Additional Declaration

Corrections can be made in the noncritical blocks of the FPC. Authorized Certification Officials (ACO's) must use their best judgment on corrections and erasures. The intent is to prevent having to complete a new certificate because of a typographical error. Initial the correction(s). **Never** delete entire entries or use opaque correction fluid.

Superseding Federal Phytosanitary Certificates (FPC's):

Authorized Certification Officials (ACO's) can reissue certificates that have been completed or partially completed because of changes in the information (or due to errors). Refer to [Appendix A, "Fees and Costs" on page-A-1-1](#) when collecting a user fee for the reissued certificate. When changes are extensive in a critical block, no erasures are allowed by the foreign country, or the original certificate cannot be recovered for correction, then a new certificate must be issued. On the new certificate an AD will be added stating:

"This certificate supersedes Phytosanitary Certificate number _____, issued on... (date)..., at... (issuing office)..., because... (give the reason for issuing a new certificate)."

This statement should only be used if the original certificate has not been recovered.



All blank certificates prepaid by exporters are to be returned to the **issuing office**. Exporters and brokers are prohibited from prepaying blank certificates at one location and forwarding them to another location for authentication. Therefore, **never** authenticate a certificate issued by another office.

Replacing Lost FPC's:

Authorized Certification Officials (ACO's) can replace a lost certificate. Refer to Appendix 1, Fees and Costs, when collecting a user fee for the replaced certificate. On the new certificate, an AD will be added stating:

"This certificate supersedes and replaces the exporter's lost original of Phytosanitary Certificate number _____, dated _____, issued at _____."

Voiding an FPC:

Certificates voided by PPQ or the public and industry should be documented in the issuing office's Export Certificate Record (ECR) (APHIS Form 80-R) as being voided and filed. The voided original or the issuing office copy (blue) should be filed at the accountability point (issuing office). Refer to [Appendix A, "Fees and Costs" on page-A-1-1](#), when refunding or crediting voided certificates. Send copies of voided certificates to CPO's.



All blank certificates given out to exporters are to be returned to the issuing office, including those voided or otherwise ruined in typing and preparation.

Checking Legibility and Approved Language:

Make sure **all** copies of certificates are legible. Certificates must be typed, computer-printed, or completed in hand-printed uppercase letters. Use only English to fill in a certificate. Foreign words or phrases are **not** allowed, **except** the Latin binomial names of products and plant pests.

Verifying Approved Format:

All PC's (Federal and State) used to certify plants and plant products to foreign countries must follow the international model adopted by the International Plant Protection Convention in 1979. In certain cases, exporters **may** wish to use State phytosanitary certificates. Authorized Certification Officials (ACO's) should verify that State certificates are acceptable to the foreign country and should caution the exporter that such State certificates may **not** be acceptable unless conforming to the format of the international model.

Knowing When to Use Attachments:

Unless it is specifically required by the plant protection service of the foreign country, do **not** attach anything to the exporter's copies of the certificate, **except** when there is not enough space on the certificate to list the quantity of the products, description of the packages, etc.

When there is **not** enough space on the certificate, list the information on a separate sheet of paper indicating the FPC number and the date of issuance. Check the list for accuracy, sign it, and attach a copy to each copy of the certificate. Place an AD on the certificate referring to the attachment.

Distribution

Distribute copies of the FPC using [Table 2-5-1](#) as your reference.

TABLE 2-5-1: Distributing Phytosanitary Certificate (FPC), PPQ Form 577

If the FPC copy is:	Then:
Part 1—Shipper's Original (white with blue microprint background) ¹ Part 2—Shippers' Copy (pink)	GIVE the copies to the exporter, shipper, or broker Any special instructions for distributing the original and the exporter's copies will be in the export summary of the foreign country.
Part 3—Record Copy (yellow)	SEND the record copies each week to your CPO for review
Part 4—Issuing Office (blue)	FILE the copy at the issuing office and attach any pertinent information for that specific shipment, i.e., copy of the Import Permit; the application with recorded inspection results; inspection certificates issued by AMS, FGIS, or State; treatment data

1 Color of shipper's original for the Phytosanitary Certificate Issuance and Tracking Database (PCIT) will be the same.

Maintenance

The CPO's office retains the Record Copy (yellow) of PPQ Form 577 until reviewed by the CPO. (Generally, copies of this form should not be forwarded to Headquarters; however, they may be retained as training material.) Also, the CPO's office reviews the forms to detect errors by a sampling rate determined by the CPO. When errors are detected, the CPO should do the following:

- ◆ Immediately notify ES when the potential result of the error may 1) cause embarrassment or financial liability to USDA or its employees, 2) cause financial loss to the shipper or industry, or 3) damage the credibility of the phytosanitary certification program
- ◆ Give feedback to the issuing office and certifying officer
- ◆ Develop and present refresher training using the types of errors detected

The issuing office will retain the blue Issuing Office Copy on file for 3 years, then destroy it by incineration or shredding.



Reference for Plant Inspection Stations and ports designated for export of protected plant material:

Consistent with existing requirements to retain CITES/ESA documents and associated paperwork for five years, it is recommended that blue copies of FPC's issued for protected plant material be kept for 5 years.

The certificates are pre numbered making it possible to maintain records in an exact numerical sequence. Along with the copies of the FPC's, the files should include:

- ◆ The application for inspection (PPQ Form 572) when it is used
- ◆ Results of the inspection by the certifying official
- ◆ Inspection results of certificates of inspection from other State or Federal agencies
- ◆ Attachments to the certificate
- ◆ Related correspondence or cross-references

2

Export Certification
Manual

Methods And Procedures

Phytosanitary Certificate for Reexport, PPQ Form 579

Contents

Introduction	page-2-6-1
Determine Entry Status	page-2-6-2
Review Export Summaries	page-2-6-3
Verify Segregation and Safeguarding	page-2-6-3
Visually Examine Plants or Plant Products	page-2-6-4
Preparing a Reexport Certificate	page-2-6-5
Additional Declaration Section	page-2-6-8
Attachments	page-2-6-9
Maintenance	page-2-6-9

Introduction

Phytosanitary Certificates for Reexport (FPC-R) are issued for foreign plant and unprocessed or unmanufactured plant products that have been imported into the United States. **If U.S. and foreign commodities are blended to the extent that their identity has been lost, an FPC-R must be used. Do not issue a PPQ Form 579 (FPC-R) for foreign processed products.** We are certifying that the plants or plant products have been safeguarded against the risk of infestation or infection while in the United States. If safeguarding cannot be verified, the certifying official must perform a phytosanitary inspection.

The export summary of the foreign country is checked for any import requirements. Keep in mind that specific requirements for the listed plants and plant products from countries of origin other than the United States may not be contained in the summaries under Product Requirements.

Look in EXCERPT under General Information for those plants or plant products that are prohibited from all countries and for the import requirements that have to be met by all imported plants or plant products. In some cases an import permit may be available to specify the import requirements for a shipment.

The FPC-R is **not** issued for plants or plant products listed as prohibited entry by the foreign country unless a valid import permit is presented and all requirements can be met. Do not, however, refuse to issue the certificate if the foreign country requires the plants or plant products to meet conditions such as active growth field inspection,

area of production free from specified pests, or virus indexing in the originating country. If the proper declarations are not on a PC from the country of origin, an AD may be placed on the reexport certificate to indicate the shipment met the entry requirements of the United States, **OR** that the United States does not require phytosanitary certification for the entry of the plants or plant products, if such be the case. It is permissible to document the results of supplemental phytosanitary inspection, testing, and treatment on the FPC-R.

Such supplemental inspection/testing and treatment carried out for the purpose of providing phytosanitary certification for a foreign origin product must be tailored to the known import requirements of the intended receiving country. The import requirements must be available to PPQ either through published plant health legislation and/or by import permits issued by the country's official plant protection organization. Existing policy that disallows PPQ certification relative to pest conditions, field inspection, laboratory testing, etc., in the originating country is not changed; the phytosanitary certification issued by the plant protection service of the originating country must address these types of issues.

Supplemental phytosanitary inspection of foreign origin products must be officially conducted by PPQ or designated cooperating State plant regulatory personnel. Laboratory testing/indexing, etc., must be accomplished by Federal, State, or university laboratories approved by PPQ. Treatments must be officially supervised. An exception to this rule is that seed treatments specified on official seed tags/labels may be used as the basis for treatment certification on phytosanitary certificates.

Guidelines for determining regulatory action when phytosanitary certificates (PC's) have been altered in violation of 7CFR 353 are included in Appendix 14 (Certification Violations).

Determine Entry Status

Step 1—(Reexport) Determine the Appropriate Action for Shipments that Have Officially Entered U.S. Commerce:

Use [Table 2-6-1](#) to take the appropriate action.

TABLE 2-6-1: Regulating Reexport Shipments Based on Entry Status

If the shipment being reexported:	Then:
Is transiting the United States under Custom's bond or is entering a free trade zone	REFUSE to issue a reexport certificate
Has officially entered U.S. commerce	1. ASK the exporter for supporting documents, i.e., Custom's entry papers or an invoice bearing a PPQ "released" stamp, or a foreign PC 2. GO to Step 2 (Reexport)

Review Export Summaries

Step 2—(Reexport) Determine Import Requirements of Reexport Shipments:

Look in the export summary of the foreign country to see if there are import requirements listed for the plants or plant products offered for reexport. Refer to Import Requirements under Methods and Procedures beginning on page 2.3.1 as a guide to processing reexport shipments used as import requirements. Go to [Table 2-6-2](#) to take the appropriate action.

TABLE 2-6-2: Regulating Reexport Shipments Based on Import Requirements

If the plants or plant products:	Then:
Are prohibited entry into the foreign country	REFUSE to issue an FPC-R, unless a valid IP is presented
Require special handling such as growing season inspection, virus indexing, freedom from specified pests in the production area ¹	GO to Step 3 (Reexport), Verify Segregation and Safeguarding of Reexport Shipments
Require an entry condition that can be met by visual inspection or are declared on the foreign PC	
Are not listed in the export summary	

¹ These types of requirements cannot be met within an intermediate country, but this does **not** justify refusing certification.

Verify Segregation and Safeguarding

Step 3—(Reexport) Verify Segregation and Safeguarding of Reexport Shipments:

Determine if the plants or plant products were both:

- ◆ Segregated and their identity maintained, and

- ◆ Kept under suitable safeguards to prevent the risk of infestation or infection while in the United States

Make the determination by using your knowledge of and your experience with the exporting company, the supporting documents, and the plants or plant products being reexported.

TABLE 2-6-3: Regulating Reexport Shipments Based on Segregation and Safeguarding

If the plants or plant products have:	Then:
Been segregated and safeguarded	<ol style="list-style-type: none">1. COMPLETE a reexport certificate. The plants or plant products may be certified with only a verification inspection2. ATTACH the original or certified copy of the foreign PC3. GO to page 2.6.5 to prepare a Reexport Certificate, PPQ Form 579
Not been segregated and safeguarded, OR Been stored, repacked, or split while in the United States	<ol style="list-style-type: none">1. VISUALLY examine the plants or plant products2. GO to Step 4 (Reexport)

Visually Examine Plants or Plant Products

Step 4—(Reexport) Visually Examine Reexport Shipments:

Visually examine the plants or plant products being offered for reexport. Refer to Inspectional Guidelines under Methods and Procedures beginning on page 2.4.3. Make sure the plants or plant products are the following:

- ◆ What have been offered for reexport
- ◆ Not subject to infection or infestation

TABLE 2-6-4: Regulating Reexport Shipments Based on Visual Inspection

If the plants or plant products:	Then:
Have no pests present	<ol style="list-style-type: none">1. COMPLETE a reexport certificate2. GO to page 2.6.5 to prepare a reexport certificate, PPQ Form 579
Have pests present	<ol style="list-style-type: none">1. DO NOT CERTIFY the plants or plant products unless treated or reconditioned2. GO to Step 7 on page 2-4-12

Preparing a Reexport Certificate

The Phytosanitary Certificate for Reexport (PC for reexport), PPQ Form 579, is used to certify foreign plants and plant products for reexport (see [Figure 2-6-1](#) for a sample of a reexport certificate).

The intended purpose of the reexport certificate is to expedite the entry of plants or plant products into a foreign country. This form may also be used to expedite entry into the Federated States of Micronesia, Republic of the Marshall Islands (islands affiliated with the United States), American Samoa, Guam, Commonwealth of Northern Mariana Islands, Puerto Rico, or the U.S. Virgin Islands (St. Thomas, St. Croix, St. John). This use is authorized because States do not have Reexport Certificates.

Authorized Certification Officials (ACO's) are responsible for holding in strict confidence the information in these documents and maintaining an accountability system for them. Details about confidentiality, accountability, and the purpose of the reexport certificate can be found under the definition of the PC for reexport in the Glossary of this manual.

To clarify the preparation of the PC for reexport, the form is divided into six parts:

- ◆ Heading
- ◆ Certification
- ◆ Disinfestation and/or Disinfection treatment
- ◆ Description of the Consignment
- ◆ Additional Declaration
- ◆ Authorization (signature)

To complete the FPC-R, follow the directions for preparing an FPC, PPQ Form 577, except for:

- ◆ Certification
- ◆ Additional Declaration
- ◆ Attachments

These sections on the reexport certificate are to be prepared differently from the FPC, PPQ Form 577.

If the commodity received a quarantine treatment as a condition of entry into the United States, then enter the full treatment schedule in the appropriate section of the reexport certificate. Never abbreviate with entries such as "Fumigated" or "T101."

In addition, when issuing a PC for reexport, you are required to attach the original foreign PC or certified true copy, if available, to the PPQ Form 579.

The following give specific instructions, techniques, and examples of how to complete a Certificate for Reexport.

Block Titled “CERTIFICATION”:

1. Enter the foreign country where the plants or plant products came from (country of origin). More than one country can be entered, and for more than one commodity, but be sure to distinguish which commodity is from which country in Block 13, “Place of origin.”

Methods And Procedures: Phytosanitary Certificate for Reexport, PPQ Form 579
Preparing a Reexport Certificate

Heading

Certification

Disinfestation
and/or
Disinfection
Treatment

Description of
the Consignment

Additional
Declaration

Authorization

No phytosanitary certificate can be issued until an application is completed (7 CFR 353) See reverse for additional OMB information. FORM APPROVED OMB NO. 0579-0052

**UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE**

**PHYTOSANITARY CERTIFICATE
FOR REEXPORT**

TO: THE PLANT PROTECTION ORGANIZATION(S) OF

FOR OFFICIAL USE ONLY

PLACE OF ISSUE

NO. **FPC 522474 -R**

CERTIFICATION

This is to certify that the plants or plant products described below were imported into the United States from (Country of origin) covered by Phytosanitary Certificate ☐ original ☐ certified true copy of which is attached to this certificate. That they are ☐ packed ☐ repacked ☐ in original ☐ in new containers, that based on the ☐ original Phytosanitary Certificate ☐ and additional inspection, they are considered to conform with the current phytosanitary regulations of the importing country, and that during storage in the United States, the consignment has not been subjected to the risk of infestation or infection.

DISINFESTATION AND/OR DISINFECTION TREATMENT

1. DATE	2. TREATMENT
3. CHEMICAL (active ingredient)	4. DURATION AND TEMPERATURE
5. CONCENTRATION	6. ADDITIONAL INFORMATION

DESCRIPTION OF THE CONSIGNMENT

7. NAME AND ADDRESS OF THE EXPORTER	8. DECLARED NAME AND ADDRESS OF THE CONSIGNEE
9. NAME OF PRODUCE AND QUANTITY DECLARED	10. BOTANICAL NAME OF PLANTS
11. NUMBER AND DESCRIPTION OF PACKAGES	12. COUNTRY OF ORIGIN
13. PLACE OF ORIGIN	14. DECLARED MEANS OF CONVEYANCE
15. DECLARED POINT OF ENTRY	

WARNING: Any alteration, forgery, or unauthorized use of this phytosanitary certificate is subject to civil penalties of up to \$200,000 (U.S.C. Section 733a(b)) or punishable by a fine of not more than \$10,000, imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).

ADDITIONAL DECLARATION

16. DATE ISSUED 17. NAME OF AUTHORIZED OFFICER (Type of PRPH) 18. SIGNATURE OF AUTHORIZED OFFICER

No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department who respect to this certificate.

PART 1. SHIPPER'S ORIGINAL

FIGURE 2-6-1: Sample of Phytosanitary Certificate for Reexport, PPQ Form 579

2. Enter the Phytosanitary Certificate number if available. Use [Table 2-6-5](#) to determine your entry.

TABLE 2-6-5: Determining the Entry for the Phytosanitary Certificate

If:	Then:
The original or a copy of the foreign certificate addressed to the United States and endorsed as a true copy is available	1. ENTER the number of the certificate from the original foreign country 2. INDICATE whether the certificate is the original or a certified true copy
No foreign certificate is available	ENTER "none" in the space to the right of the words "Phytosanitary Certificate No."

3. Indicate whether the plants or plant products are packed in the original containers or repacked in new containers.

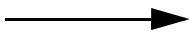
Additional Declaration Section

Block Titled “**ADDITIONAL DECLARATION**”¹:

In the Additional Declaration section, indicate that the plants or plant products conform with the entry requirements of the importing country based on the original PC, import permit (IP), or based on a supplemental phytosanitary inspection, testing, or treatment. (An IP number may be included in this section.)

Determine the entry for the Additional Declaration using [Table 2-6-6](#).

TABLE 2-6-6: Determining the Entry for the Additional Declaration

If:	And the required certification is:	Then:
The original or a copy of the PC from the country of origin is present	On that certificate	No AD is required
	Not on that certificate	You may ENTER an AD that states, “The commodity met the entry requirements of the United States,” and document the results of a supplemental phytosanitary inspection, testing, or treatment.
There is no PC from the country of origin		<p>The only acceptable AD’s are as follows:</p> <p>“The commodity met the entry requirements of the United States.”</p> <p>AND/OR</p> <p>“The United States does not require phytosanitary certification as a condition of entry for this commodity” (if that be the case).</p> <p>AND/OR</p> <p>“Import permit (IP) presented” (if permit is specifically written for the products being shipped from the U.S.A.), and document the results of a supplemental phytosanitary inspection, testing, or treatment.</p>

1 This is a critical area. Never make corrections in this critical block unless directed otherwise in the export summary.

Attachments

When the original or a copy of the foreign PC endorsed as a true copy is available, attach it to the original copy of PPQ Form 579.

Distribution

Distribute copies of PPQ Form 579 using [Table 2-6-7](#).

TABLE 2-6-7: Distributing the Phytosanitary Certificate for Reexport, PPQ Form 579

If the reexport PC copy is:	Then:
Part 1—Shipper's Original (white w/ blue microprint background) Part 2—Shippers' Copy (white)	GIVE the copies to the exporter, shipper, or broker NOTE: Any special instructions for distributing the original and the exporter's copies will be in the export summary of the foreign country.
Part 3—Record Copy (white)	SEND the copy each week to your contact point officer (CPO) for review.
Part 4—Issuing Office (white)	FILE the copy at the issuing office and attach any pertinent information for that specific shipment, i.e., copy of the Import Permit; the application with recorded inspection results; inspection certificates issued by AMS, FGIS, or State; treatment data

Maintenance

The CPO's office retains the Record Copy of PPQ Form 579 for 90 days. (Generally, copies of this form should not be forwarded to Headquarters; however, they may be retained as training material.) Also, the CPO's office reviews the forms to detect errors by a sampling rate determined by the CPO. When errors are detected, the CPO should do the following:

- ◆ Immediately notify ES when the potential result of the error may 1) cause embarrassment or financial liability to USDA or its employees, 2) cause financial loss to the shipper or industry, or 3) damage the credibility of the phytosanitary certification program
- ◆ Give feedback to the issuing office and certifying officer
- ◆ Develop and present refresher training using the types of errors detected

The issuing office will retain the Issuing Office Copy on file for 3 years, then destroy it by incineration or shredding.



Plant Inspection Stations and ports designated for export of protected plant material:

Consistent with existing requirements to retain CITES/ESA documents and associated paperwork for five years, it is recommended that copies of **FPC-R's issued for protected plant material be kept for 5 years.**

The certificates are pre numbered making it possible to maintain records in an exact numerical sequence. Along with the copies of the reexport FPC's the files should include:

- ◆ The application for inspection (PPQ Form 572) when it is used
- ◆ Results of the inspection by the certifying official
- ◆ Inspection results of certificates of inspection from other State or Federal agencies
- ◆ Attachments to the certificate
- ◆ Related correspondence or cross-references



Methods And Procedures

Export Certificate, Processed Plant Products, PPQ Form 578

Contents

Introduction	page-2-7-1
Heading	page-2-7-3
Description of Consignment	page-2-7-4
Name, Signature Block	page-2-7-5
General Guidelines for Completing Certificates	page-2-7-5
Distribution	page-2-7-6
Maintenance	page-2-7-7

Introduction

The Export Certificate, Processed Plant Products (PPC), PPQ Form 578, is an accountable certificate used to certify specific, processed plant products for export. The PPC was created by PPQ to fill a void where no other USDA agency certification exists or could be adapted. No liability shall attach to the USDA or to any of its representatives with respect to this certificate. See [Figure 2-7-1](#) for an example of an FPC.



Inform exporters that a PPC is **not** an FPC and may not serve its intended purpose of facilitating the entry of the processed product. The PPC can be used for any processed product specified in EXCERPT regardless of the product's origin. Always specify the country of origin on PPQ Form 578 when the product originates from a foreign country. Treatments **cannot** be certified on PPQ Form 578.

The intended purpose of the PPC is to assist U.S. exporters whose shipments may be placed in jeopardy if such a document is not issued. The PPC may be issued only for those processed products specified in EXCERPT. Processed products are specified in EXCERPT when **PPQ Form 578** follows their listing. Authorized Certification Officials (ACO's) are responsible for holding in strict confidence the information in the PPC's and for maintaining an accountability system for them. Details about confidentiality, accountability, and the purpose of the PPC can be found under Export Certificates in the Glossary of this manual.

To clarify the preparation of the PPC, the form is divided into three parts:

- ◆ Heading

- ◆ Description of Consignment
- ◆ Name, Signature Block (this block has space for the officer's name and signature)


According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0052. The time required to complete this information collection is estimated to average .03 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.		FORM APPROVED OMB NO. 0579-0052
UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FOR OFFICIAL USE ONLY
<h2 style="margin: 0;">EXPORT CERTIFICATE</h2> <h3 style="margin: 0;">PROCESSED PLANT PRODUCTS</h3>		PLACE: DATE: NUMBER: P 340042
NAME AND ADDRESS OF EXPORTER	NAME AND ADDRESS OF CONSIGNEE	
MEANS OF CONVEYANCE		POINT OF ENTRY
DESCRIPTION OF CONSIGNMENT		
PRODUCT (Kind, Quantity, and Weight)		
IDENTIFICATION		
ORIGIN		
WARNING: Any alteration, forgery, or unauthorized use of this certificate is subject to civil penalties of up to \$250,000 (7 U.S.C. Section 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C. Section 1001).		
This is to affirm that, based upon inspection of submitted samples and/or by virtue of processing received, the plant products described above are believed to be free from injurious plant pests.		
		NAME OF AUTHORIZED OFFICER
Signature		SIGNATURE
Block		PART 1: SHIPPER'S ORIGINAL
No liability shall attach to the United States Department of Agriculture or to any officer or representative of the Department with respect to this certificate.		
PPQ FORM 576 SEP 2004 Previous edition dated FEB 2001 may be used.		

FIGURE 2-7-1: Sample of Export Certificate, Processed Plant Products, PPQ Form 578

The following give specific instructions, techniques, and examples on how to complete the PPC. Also included are general guidelines for completing, correcting, replacing, superseding, and voiding PPC's.

Heading

Block Titled "FOR OFFICIAL USE ONLY":

- ◆ **Place**—Enter the city and State of the issuing office. Enter complete names; do not abbreviate.
- ◆ **Date**—Enter the date when the certificate is issued. The date should be entered in the sequence of month-day-year. SPELL OUT the month (January 1, 1995). **Never** use numbers for months, and never abbreviate the year.
- ◆ **Number**—All PPC's are pre numbered to deter forgeries and to facilitate accountability. A certificate must be validated **only** by the work unit (issuing office) accountable for the certificate. **No additional number should be entered here.**

Block Titled "NAME AND ADDRESS OF EXPORTER":

Enter the complete name and address (street or P.O. Box, city, and State) of the exporter. The exporter's address must be in the United States. If it's impossible to be complete, minimally include the complete name, city, and State.



Never enter more than one exporter's name and address in this block.

Block Titled "NAME AND ADDRESS OF CONSIGNEE":

Enter the complete name and address of the consignee. The address must be in a foreign country. If it's impossible to be complete, minimally include the complete name, city, and country.



Never enter more than one consignee's name and address in this block.

Block Titled "MEANS OF CONVEYANCE":

Enter the airline or the name of the vessel. (For rail or truck shipments to Canada and Mexico, write the name of the railroad or truckline, if known.) Also acceptable is to write the vessel name and add "or

substitute.” If the name of the airline, vessel, railroad, or truckline is unknown, use “airfreight,” “ocean vessel,” “railroad,” or “truckline.” Show mail shipments as “airmail” or “surface mail.”

Block Titled “POINT OF ENTRY”:

Enter the port of entry (POE) declared by the exporter. Enter “unknown” if a specific POE is not designated by the exporter. Authorized Certification Officials (ACO’s) can enter multiple ports. Spell out names of cities.

Description of Consignment

Block Titled “PRODUCT (Kind, Quantity, and Weight)”:



Never enter or allow the entry of trade names, intended use, sizes, grades, or other commercial terms in this block. **No corrections** are permitted in this block.

Kind. Enter only a commodity that is specified in EXCERPT. **This certificate may not be issued for other commodities!**

Quantity. Enter the number and description of the shipping containers as declared by the exporter. For example, enter 11 wooden crates, 123 cardboard cartons, or 5 burlap bags. If it’s a bulk shipment, then enter “In Bulk.”

Weight. Ideally, show the declared weight in kilograms. If it’s impracticable to show the weight in kilograms, then enter pounds.

When the block is completed, line out any unused space.

Block Titled “IDENTIFICATION”:

Enter in this block whatever the exporter declares. For example, the exporter may enter the markings applied to sea containers, shipping containers, truck licenses, or rail cars. The marks entered in this block should parallel exactly those that occur on the commodity or its container. **Never** enter “As Addressed” or “As Marked.” **No corrections** are permitted in this block.

Block Titled “ORIGIN”:

Enter the origin as declared by the exporter. Spell out the name of State(s) and counties, or country.

Name, Signature Block

Line Titled “Name of Authorized Officer”:

Type or print in the name of the Authorized Certification Official (ACO) who will sign the PPC. Do not add titles.

Line Titled “Signature”:

Sign your name. Only Authorized Certification Officials (ACO's) can sign a PPC. Only one original signature is authorized. Do not sign multiple copies of a certificate. If the exporter needs additional “originals,” have the exporter make copies. Then suggest that those copies be notarized by a Notary Public as true copies of the original.

Additional Declaration:

Do not make additional declarations on the PPC.

Do not make statements relating to superseded certificates on the PPC. (However, certificates may be rescinded or voided.)



If asked to certify freedom from animal diseases, refer the exporter to the PPQ Staff Veterinarian's Office. Letterhead statements are used to attest freedom from specific animal diseases. Such statements are not to be attached to the certificate. If asked to certify radiation levels, refer the exporter to the Technical Office for International Trade, U.S. Department of Agriculture, Building 1070, BARC-EAST, Beltsville, MD 20705. The telephone number of this facility is (301) 344-2845.

General Guidelines for Completing Certificates

Making Corrections:

Never make corrections in the following critical areas of the certificate:

- ◆ PRODUCT
- ◆ IDENTIFICATION

Corrections can be made in the noncritical blocks of the PPC. Authorized Certification Officials (ACO's) must use their best judgment on corrections and erasures. The intent is to prevent having to complete a new certificate because of a typographical error. Initial the correction(s). **Never** delete entire entries or use opaque correction fluid or correction tape.



All blank certificates prepaid by exporters are to be returned to the issuing office. Seven dollars (\$7) of the refund for returned certificates is retained by APHIS as an administrative fee. (See **Fees and Costs** (“[Appendix A](#)” on [page-A-1-1](#)) for directions on collecting user fees for issued certificates.) Exporters and brokers are prohibited from prepaying blank certificates at one location and forwarding them to another location for authentication. Therefore, never authenticate a certificate issued by another office.

Voiding a PPC:

Voided certificates must be documented in the issuing office’s Export Certificate Record (ECR), APHIS 80-R. The voided original must be filed at the accountability point (issuing office). See **Appendix A, “Fees and Costs”** on [page-1-A-1](#), for directions for refunding or crediting voided certificates.



All voided certificates prepaid by exporters are to be returned to the issuing office, including those ruined in typing and preparation. Seven dollars (\$7) of the refund for returned certificates is retained by APHIS as an administrative fee.

Checking Legibility and Approved Language:

If a certificate is completed in longhand, all copies must be legible. Fill out the certificate in English, although you may use the Latin binomial names of products and plant pests.

Replacing a Lost Certificate:

If a certificate is lost and a new one is requested, then issue a new certificate with no AD. (See Table A-1-10 for the appropriate fee.)

Knowing When to Use Attachments:

Do not attach anything to the exporter’s copies of the PPC unless there is insufficient space to list the quantity of the products, description of the packages, and like information. If space is lacking on the PPC for such information, list it on a separate sheet of paper and show the PPC number with the date of issuance. Check the list for accuracy, sign it, and attach a copy to the PPC.

Distribution

Distribute copies of the Export Certificate, Processed Plant Products (PPC) using [Table 2-7-1](#).

TABLE 2-7-1: Distributing Export Certificate, Processed Plant Products, PPQ Form 578

If the certificate's copy is:	Then:
Part 1—Shipper's Original (white w/ blue microprint background) or Part 2—Shipper's Copy (white)	GIVE the copies to the exporter, shipper, or broker, plus a foreign PC if present NOTE: Any special instructions for distributing the original and the exporter's copies will be in the export summary of the foreign country.
Part 3—Record Copy (white)	SEND the copy each week to your Contact Point Officer (CPO) for review.
Part 4—Issuing Office Copy (white)	FILE the copy at the issuing office and attach any pertinent information for that specific shipment

Maintenance

The issuing office will retain the Issuing Office Copy of PPQ Form 578 on file for 3 years, then destroy it by incineration or shredding.



Reference for Plant Inspection Stations and ports designated for export of protected plant material:

Consistent with existing requirements to retain CITES/ESA documents and associated paperwork for five years, it is recommended that **blue copies of PPC's issued for protected plant material be kept for 5 years.**

The certificates are pre numbered making it possible to maintain records in an exact numerical sequence.

Methods And Procedures

Process Protected Plants

Contents

Introduction	page-2-8-1
Validate and Endorse Documents for Protected Plants Other Than American Ginseng	page-2-8-2
Validate and Endorse Documents for American Ginseng (<i>Panax quinquefolius</i>)	page-2-8-16
Process Violations of ESA or CITES	page-2-8-28

Introduction

This is a continuation of Step 5—Determine Authority to Certify Protected Plants for Export (page 2.2.7).

To process protected plants and plant material for export, you must identify the item as “other than American Ginseng,” “American Ginseng,” or “material moving in violation of ESA or CITES.” The procedures for processing these basic categories are included in this section, Process Protected Plants, and referenced in [Figure 2-8-1](#).

- ◆ “Validate and Endorse Documents for Protected Plants Other Than American Ginseng” on [page-2-8-2](#)
- ◆ “Validate and Endorse Documents for American Ginseng (*Panax quinquefolius*)” on [page-2-8-16](#)
- ◆ “Process Violations of ESA or CITES” on [page-2-8-28](#)

FIGURE 2-8-1: Overview of steps for processing protected plants

The task of enforcing the legislation that protects plants from extinction requires that officers determine if articles are moving in accordance with or in violation of the legislation.

If the articles are moving in accordance with the legislation, the officer may:

- ◆ Endorse documents issued by the Division of Management Authority (DMA)¹; and, if appropriate
- ◆ Issue an FPC after import requirements (See [Figure 2-3-1 on page-2-3-2](#)) and inspection guidelines (See [Figure 2-4-1 on page-2-4-2](#)) are met

¹ Formerly the Federal Wildlife Permit Office (FWPO).

If the articles are moving in violation of the legislation, the officer may:

- ◆ Modify the inventory sheets if allowed and appropriate; otherwise,
- ◆ Refuse to endorse documents issued by DMA, and if appropriate,
- ◆ Refuse to issue an FPC, and
- ◆ Decide whether or not to initiate procedures to prosecute those found in violation of the legislation.

Endorsing DMA² Documents—Documents are **not** valid for the export or reexport of protected plants until they are endorsed by a PPQ officer. The documents endorsed are called permits and certificates (together with their continuation and inventory sheets, if appropriate). See “[Appendix E](#)” on [page-E-1-1](#) of this manual for a description of these documents.



An FPC for plants protected by CITES and ESA must be issued only at a designated port. Similarly, DMA documents issued for protected plants must be endorsed only at a designated port.

Validate and Endorse Documents for Protected Plants Other Than American Ginseng

Overview of Procedures:

Procedures to take in determining if articles are moving in accordance with or in violation of the legislation that protects plants from extinction are referenced in [Figure 2-8-2](#).

2 Formerly the Federal Wildlife Permit Office (FWPO).

- ◆ “Step 1—Judge Whether the Exporter Is Aware of the Legislation and Its Requirements:” on [page-2-8-3](#)
- ◆ “Step 2—Collect All Documents That Are Associated With the Export or Reexport:” on [page-2-8-3](#)
- ◆ “Step 3—Judge Whether the Export Is Commercial:” on [page-2-8-4](#)
- ◆ “Step 4—Determine What Permits, Certificates, and Other Documents Must Accompany the Export:” on [page-2-8-4](#)
- ◆ “Step 5—Allow the Exporter the Opportunity to Supply Any Missing: Documents When Appropriate:” on [page-2-8-10](#)
- ◆ “Step 6—Review All Relevant Documents to Confirm That They Are Completed, and Authentic:” on [page-2-8-10](#)
- ◆ “Step 7—Look for Any Alterations:” on [page-2-8-12](#)
- ◆ “Step 8—Compare the Documents to Each Other and to the Actual Shipment:” on [page-2-8-12](#)
- ◆ “Step 9—Endorse and Distribute Documents:” on [page-2-8-14](#)

FIGURE 2-8-2: Overview of steps for validating and endorsing documents for protected plants other than American ginseng

Step 1—Judge Whether the Exporter Is Aware of the Legislation and Its Requirements:

You need to know whether the exporter is aware of the legislation to substantiate if there was an obvious attempt to defraud you or to violate the regulations.

Step 2—Collect All Documents That Are Associated With the Export or Reexport:

In addition to the documents issued by DMA and PPQ, collect:

- ◆ Invoices
- ◆ Waybills, and
- ◆ Other shipping documents

Use these shipping documents to verify weights, numbers, and kinds of articles being exported. All protected plants must be invoiced, marked, or identified with the following marking requirements (Ref. 7CFR 355.21):

- ◆ The identity of the plant to the appropriate taxon (for hybrids, they are identified), and the number being exported
- ◆ The country or location where collected or grown
- ◆ The name and address of the consignee
- ◆ The name and address of the exporter or shipper
- ◆ A shipper's mark and number

- ◆ The serial number of the permit or certificate issued for the product's export or reexport

Additional Requirement for Mail Shipments. For a mail shipment, the material must be double wrapped with an unsealed inner wrapping addressed to the consignee and have sufficient postage to reach the foreign destination. The marking and identification must be shown on the outside of the package. In addition to the outside marking requirements, the name, address, and telephone number of the intended recipient in the United States must be included on a separate sheet of paper placed inside the package (Ref: 7CFR 355.21).

Step 3—Judge Whether the Export Is Commercial:

Whether the shipment is commercial or noncommercial will influence the actions you take to certify protected plants. It will also affect what kind of document is issued (for example, an Export Permit (for CITES I) or Certificate of Artificial Propagation (for CITES II). Use [Table 2-8-1](#) to determine the criteria to separate commercial from noncommercial shipments.

TABLE 2-8-1: Determining if an Export Is Commercial¹

If:	Then consider the export:
The plant or plant product is known to be for sale or resale	Commercial
The plant is consigned to a nursery or a plant dealer	
The volume and variety of plants or plant products exceed what can be reasonably considered for personal use	
The parties are involved in commercial activities as evidenced by State registration, i.e., nursery, advertisements in trade journals and catalogs	
None of the above criteria applies	Noncommercial

- 1 Commercial (Engaged in Business): Engaged in business as an importer, exporter, or reexporter of terrestrial plants. To import, export, or reexport terrestrial plants for the purpose of selling, bartering, collecting, or otherwise exchanging or acquiring the plants as a livelihood or enterprise engaged in for gain or profit. This term shall not include persons engaged in business merely as carriers or customhouse brokers. Reference 7CFR 355.2 for the definition of "Engaged in Business."

Step 4—Determine What Permits, Certificates, and Other Documents Must Accompany the Export:

Determine what documents must accompany the export; then determine what, if any, documents are missing. Use the references in [Table 2-8-2](#) as a checklist for determining if the export or reexport is appropriately documented.

TABLE 2-8-2: Determining What Permits, Certificates, and Other Documents Must Accompany the Export

If the plant or plant product is protected:	And the export or reexport is:	Then use:
Solely by CITES	Commercial	Table 2-8-3
	Noncommercial	Table 2-8-4
Solely by ESA	—————→	Table 2-8-5
Both by CITES and ESA	Commercial	Table 2-8-6
	Noncommercial	Table 2-8-7

For all commercial exports and reexports of protected plants, the exporter must hold a USDA General Permit (General Permit, PPQ Form 622). In addition to the General Permit, go to [Table 2-8-3](#) and determine other documents that must accompany the shipment.

TABLE 2-8-3: Determining What Documents Must Accompany the Export of Commercial Shipments of CITES Protected Plants

If the plant or plant product is:	And is Appendix:	Then you need:
Exempt ¹ from the CITES permit requirements because of artificial propagation (but not exempt from the requirements for a certificate)	II	4 copies of the DMA issued CITES II Certificate of Artificial Propagation
	III	4 copies of the DMA issued Certificate of Origin
Not exempt ¹ from the CITES permit requirements	I	4 copies of the DMA issued CITES I Export Permit (or reexport certificate) with the attached permit from the country of destination
	II	4 copies of the DMA issued CITES II Export Permit (or reexport certificate)
	III	4 copies of the DMA issued Certificate of Origin

- 1 Commercial exports are **not** allowed under certificates of exemption when the plant was acquired prior to the date that CITES applied to it; or it is being exchanged between registered scientists or scientific institutions.

Go to [Step 5](#), Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate.

TABLE 2-8-4: Determining What Documents Must Accompany the Export of Noncommercial Shipments of CITES Protected Plants

If the plant or plant product is:	And is Appendix:	Then you need:
Exempt ¹ from the permit requirements of CITES	I	4 copies of the DMA issued CITES I Certificate (certificate must be specific for the category exemption (artificial propagation, pre CITES, or exchange between registered scientific institutions))
	II	4 copies of the DMA issued CITES II certificate (certificate must be specific for the category exemption (artificial propagation, preCITES, or exchange between registered scientific institutions))
	III	4 copies of the DMA issued certificate of origin
Not exempt ¹ from the permit requirements of CITES	I	4 copies of the DMA issued CITES I Export Permit (or reexport certificate) with the attached permit from the country of destination
	II	4 copies of the DMA issued CITES II Export Permit (or reexport certificate)
	III	4 copies of the DMA issued Certificate of Origin

1 DMA grants exemptions for:

- ◆ Plants that were artificially propagated that are **not** a commercial export of plants or their derivatives listed under Appendix I
- ◆ Plants that were acquired prior to the date CITES applied to it
- ◆ Plants that are being exchanged between registered scientists or scientific institutions

Go to **Step 5**, Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate.

TABLE 2-8-5: Determining What Documents Must Accompany the Export of ESA Protected Plants

If the plant or plant product is:	And the plant or plant product is:	And:	Then:
Commercial	Endangered	→	1. MAKE sure that the exporter holds a USDA General Permit, and
	Threatened	Not exempt ¹ from the permit requirements of ESA	2. COLLECT 4 copies of the DMA issued Permit for the Export of Endangered or Threatened Species
		Exempt ¹ from the permit requirements of ESA	1. Permits not required and 2. If a seed shipment, a statement that the seeds are of "cultivated origin" accompanies the shipment
Noncommercial	Endangered	→	COLLECT 4 copies of the DMA issued Permit for the Export of Endangered or Threatened Species
	Threatened	Not exempt ¹ from the permit requirements of ESA	
		Exempt ¹ from the permit requirements of ESA	1. Permits not required and 2. If a seed shipment, a statement that the seeds are of "cultivated origin" accompanies the shipment

- 1 Artificially propagated seeds of species treated as Threatened, under the ESA, do not require a DMA Permit unless the specific species has Special Rules applied to it. EXCERPT indicates which species have Special Rules

Go to [Step 5](#), Allowing the Exporter the Opportunity to Supply Any Missing Documents When Appropriate.

For all commercial exports and reexports of protected plants, the exporter must hold a General Permit. In addition to the General Permit, go to [Table 2-8-6](#), and determine the other documents that must accompany the shipment.

If the plant or product is:	And is Appendix	Then you need:
Exempt ¹ from the CITES permit requirement because of artificial propagation	II	4 copies of the DMA issued CITES I Certificate of Artificial Propagation amended in Block 5 to authorize Endangered or Threatened species
	III	4 copies of the DMA issued Certificate of Origin amended in Block 5 to authorize Endangered or Threatened species
Not exempt ¹ from the CITES permit requirements	I	4 copies of the DMA issued CITES I Export Permit (or reexport certificate) with the attached permit from the country of destination (Block 5 of the DMA permit must be amended to include Endangered or Threatened species)
	II	4 copies of the DMA issued CITES II Export Permit (or reexport certificate) amended in Block 5 to include Endangered or Threatened species
	III	4 copies of the DMA issued Certificate of Origin amended in Block 5 to authorize Endangered or Threatened species

TABLE 2-8-6: Determining What Documents Must Accompany the Export of Commercial Shipments of Plants Protected Both by CITES and ESA

- 1 Commercial exports are not allowed under certificates of exemption when the plant was acquired prior to the date that CITES applied to it or it is being exchanged between registered scientists or scientific institutions.

Go to [Step 5](#), Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate.

TABLE 2-8-7: Determining What Documents Must Accompany the Noncommercial Shipment of Plants Protected Both by CITES and ESA

If the plant or plant product is:	And is Appendix:	Then you need:
Exempt from the permit requirements ¹	I or II	4 copies of the appropriate (certificate must be specific for the category of exemption (artificial propagation, preCITES, or exchange between registered institutions)) DMA issued CITES certificate amended in Block 5 to authorize Endangered or Threatened species
	III	4 copies of the DMA issued Certificate of Origin amended in Block 5 to authorize Endangered or Threatened species
Not exempt from the permit requirements of CITES	I	4 copies of the DMA issued CITES I Export Permit (or reexport certificate) with the attached permit or reexport certificate from the country of destination (Block 5 of the DMA permit must be amended to include Endangered or Threatened species)
	II	4 copies of the DMA issued CITES II Export Permit (or reexport certificate) amended in Block 5 to include Endangered or Threatened species
	III	4 copies of the DMA issued Certificate of Origin amended in Block 5 to authorize Endangered or Threatened species

- 1 A plant may be exempt from the permit requirements when it—was artificially propagated; was acquired prior to the date CITES applied to it; or is being exchanged between registered scientists or scientific institutions.

Go to **Step 5**, Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate.

Step 5—Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate:

Go to [Table 2-8-8](#) to determine your action when the exporter is missing required permits or certificates.

TABLE 2-8-8: Allowing the Exporter the Opportunity to Supply Any Missing Documents When Appropriate

If the exporter:	Then:
Lacks any of the permits or certificates required by CITES and/or ESA	1. REFER the exporter to DMA ¹ , and 2. REFUSE to issue an FPC and to validate any DMA issued documents until the exporter supplies the missing permit or certificate
Lacks a USDA General Permit (PPQ Form 622)	1. CONFIRM that the export is commercial 2. GIVE the exporter a copy of the application for a General Permit ² , and 3. REFUSE to issue an FPC and to endorse any DMA issued documents until the exporter gives you evidence that he or she holds a current General Permit
Has all the necessary documents	GO to Step 6

1 If exporters lack CITES or ESA documents, they may call DMA at 1-800-358-2104 for information. Correspondence should be addressed to: U.S. Fish and Wildlife Service, Division of Management Authority, 4401 N. Fairfax Drive, Room 420 C, Arlington, VA 22203-3507.

2 If exporters need a General Permit or have questions related to General Permits, they should write to: PPQ-APHIS-USDA, Permit Unit, 4700 River Road, Riverdale, MD 20737.

Step 6—Review All Relevant Documents to Confirm That They Are Completed, and Authentic:

1. Verify That the Document Is Current—If the permit or certificate has expired, then tell the importer that the document must be replaced with a current one.³

Go to [Table 2-8-9](#) to determine if the document has expired.

3 If exporters need to have their General Permit renewed, or have questions about renewals, they should call the Permit Unit at 1-877-770-5990, fax at 1-301-734-8700, write to PPQ-APHIS-USDA, Permit Unit, 4700 River Road, Riverdale, MD 20737, or go to <http://www.aphis.usda.gov/ppq/permits/> on the internet.

If exporters need to have new CITES or ESA documents issued (DMA does not renew documents), they should call DMA at 1-800-358-2104. Correspondence should be addressed to: U.S. Fish and Wildlife Service, Division of Management Authority, 4401 N. Fairfax Drive, Room 420 C, Arlington, VA 22203-3507.

TABLE 2-8-9: Finding the Expiration Date

If the document is:	Then the expiration date can be found:
A CITES permit or certificate	In Block 2 (upper right-hand corner of the form)
An ESA permit	In Block 7 (to the right of the block that identifies the permittee)
A USDA General Permit	On a line at the bottom left-hand side of the form

2. See That CITES Documents Have Been Completed–On CITES forms, the exporter must fill in Blocks, 4, 11, 13, and 14 of the permit or certificate. The exporter does not fill in any information on the ESA permit or General Permit.
3. Go to [Table 2-8-10](#), and Authenticate the Document–See that it has an approved signature.

TABLE 2-8-10: Approved Signatures

If the document is:	Then it must be signed by:
Issued by DMA	Mary Ellen Amtower Caroline Anderson Karen Anderson Bruce Babbitt Anna Barry Michael Carpenter Charlie R. Chandler Pamela Hall Marshall Jones Lisa J. Lierheimer Michael Moore Kristen Nelson Teiko Saito Kenneth Stansell Margaret Tieger Bruce Weissgold
A General Permit	A person authorized to do so by the USDA, APHIS, PPQ, PHP, Permits and Risk Assessments (PRA). If you have any questions, please call the permit unit at (301) 734-5055.

Step 7—Look for Any Alterations:

Look for any alterations (like erasures and forgeries) that may have been made to DMA or PPQ issued permits or certificates. Note if:

- ❖ The **date** of issuance or expiration has been changed
- ❖ Species **names** and **quantities** have been changed
- ❖ **Additional species** have been added to the permit, certificate, or its continuation sheets and inventory sheets

If a permit or certificate shows evidence of forgery or alteration, document it and **begin processing the violation**. (Go to [Table 2-8-11](#).)

Step 8—Compare the Documents to Each Other and to the Actual Shipment:

Compare documents to find if there are any discrepancies, omissions, inconsistencies, or inaccuracies.

1. Compare the Quantity of Plants and Their

Derivatives—Compare the quantity listed on the waybill and/or invoice to that identified in Block 11 of the CITES permit or certificate or Block 11 of the ESA permit (if limitations are prescribed).

TABLE 2-8-11: Verifying the Quantity of Plants

If the number of containers or quantity shown on the shipping documents:	Then:
Agrees with that on the DMA issued permit or certificate	GO to 2. below
Is fewer than what is allowed on the DMA issued permit or certificate	1. HAVE the exporter change the number of containers on the original copy of the DMA issued certificate or permit, THEN 2. GO to 2. below
Is more than what is allowed on the DMA issued permit or certificate	REFUSE to issue an FPC and to endorse any DMA issued documents

2. Confirm That All Special Conditions Listed on DMA Permits and Certificates Have Been Met

—Special conditions are spelled out in Block 5 of CITES permits and certificates and Block 11 of ESA permits. If any condition is unmet, then refuse to endorse the documents and to issue an FPC until you resolve the noncompliance. Special conditions may restrict the exportation:

- ❖ Times or exact dates
- ❖ Specific quantity or number of articles
- ❖ Particular sources

Blocks 5 and 11 will also alert you to whether or not the permit can be copied for repeated use.

- 3. Confirm That the Plants and Plant Products Being Exported Are Those That Are Authorized by the DMA Issued Permits and Certificates**—Compare what’s on the shipping or mailing documents with what’s on the accompanying permits and certificates (including the inventory sheets that may be accompanying CITES listed plants).

Once you have confirmed that the DMA documents agree with the shipping documents, look at the material being shipped to confirm that only authorized plants or plant products are being exported. If you are unable to identify the plants or plant products, consult with someone at another designated port who may have experience with the plants being shipped. If you cannot find anyone with experience, then contact Export Services (ES), in Riverdale, MD. Refuse to issue an FPC until the plants are correctly identified.

TABLE 2-8-12: Verifying the Authorization of Shipments

If:	Then:
All plants and plant parts in the shipment are authorized	GO to Step 9
Some or all of the plants or plant parts in the shipment are unauthorized	PROCEED to 4. Begin Processing the Violation

- 4. Begin Processing the Violation**—If you determine that the unauthorized export is a repeat violation or you judge that there was an obvious attempt to mislead you or to conceal unauthorized material, then **begin processing the violation**. Refuse to issue an FPC and to endorse the DMA issued documents. Make sure that all unauthorized material is removed from the shipment. Go to Process Violations of ESA or CITES, page 2.8.32.
- 5. Line Through Unauthorized Entries**—If the exporter agrees to remove the illicit material, and you decide that initiating violation procedures is inappropriate, then line through the unauthorized entry on the inventory sheet. After lining through the unauthorized entry, write “NOT AUTHORIZED” across it. See [Figure 2-8-3](#) for marking unauthorized entries.

Block 7/8 (cont.) for export: Appendix II species of Aloe, <u>Euphorbia</u> , <u>Zamiaceae</u> , <u>Cycas</u> , <u>Cactaceae</u> and <u>Palmae</u> as listed below.			
INVENTORY NO. (A,B,C, etc.)	QUANTITY	SCIENTIFIC NAME	TYPE OF GOODS
A	-	LILIACEAE <u>Aloe vera</u>	
B	-	EUPHORBIACEAE <u>Euphorbia acruensis</u> <u>E. hermentiana</u> (=E. <u>trigona</u>) <u>E. lactea</u>	
C	-	ZAMIACEAE	
----	NOT AUTHORIZED----	<u>Dioon edule</u>	----
----	NOT AUTHORIZED----	<u>D. spinulosum</u>	----
		<u>Zamia pumila</u> (=Z. <u>floridana</u>)	

FIGURE 2-8-3: Example of deletion on inventory sheet

Step 9—Endorse and Distribute Documents:

Endorse and distribute DMA issued documents for the export of protected plants when you are certain that a violation of ESA or CITES has not occurred (see [“Process Violations of ESA or CITES” on page-2-8-28](#)). Once the plants or plant products meet the requirements of ESA and/or CITES, you may consider the items CERTIFIABLE and eligible for a Federal Phytosanitary Certificate. However, before you can issue a Federal Phytosanitary Certificate, import requirements ([Figure 2-3-1 on page-2-3-2](#)) and inspectional guidelines ([Figure 2-4-1 on page-2-4-2](#)) must be completed.

If the shipment contains material protected by CITES, then complete Blocks 13, 14, and 15 on Form 3-201A and Block 14 if there are any continuation and inventory sheets.

Endorse the documents following the directions from [Table 2-8-13](#).

TABLE 2-8-13: Endorsing Documents

To endorse the:	Enter in the following blocks:
CITES permit or certificate	<ul style="list-style-type: none"> ◆ Block 13—the actual quantities of plants being exported in each letter code ◆ Block 14—the bill of lading or air waybill number, the port of export, and the total number of shipping containers (verify the entry if the block is already filled in) ◆ Block 15—the date (spell out month), your signature, and stamp “released”
Continuation sheet	<ul style="list-style-type: none"> ◆ Block 14—the letter code and actual quantities of plants being exported under each code ◆ Along the bottom—the port of export, the date, your signature, and stamp “released” ◆ Block 15—the bill of lading or waybill number
Inventory (if an invoice is used, it must be stamped, dated, and signed)	Block 14—the port of export, the date, your signature, and stamp “released”
ESA permit	Block 11-stamp “released” in the bottom right-hand corner of the block, then sign and date.

Distribute the documents:

1. Make sure the original endorsed documents go forward with the shipment (including inventory and continuation sheets, if appropriate).
2. Return one set of the endorsed documents marked “COPY” to exporters for their records.
3. Take another set of the endorsed copies and securely staple them together. Send these to DMA at:

U.S. Fish and Wildlife Service
Division of Management Authority
4401 North Fairfax Drive, Room 700
Arlington, VA 22203-3507

4. Keep one set of the endorsed documents for your port files.
5. Discard any remaining copies.



Important

If the plants or plant products meet the requirements of ESA and/or CITES, return to Step 6, Determine if a Plant or Plant Product Is Prohibited in the Export Summary of EXCERPT, on page 2.3.3.

Validate and Endorse Documents for American Ginseng (*Panax quinquefolius*)

Overview of Procedures:

Procedures to take in determining if American ginseng is moving in accordance with or in violation of CITES are referenced in [Figure 2-8-4](#).

Documents are not valid for the export or reexport of American ginseng until they are endorsed by a PPQ officer. The documents you endorse are called permits, certificates, and export reports. See Appendix 5 of this manual for a description of these forms. Before you begin endorsing documents for the export or reexport of American ginseng, see [Table 2-8-14](#) to determine if the article is protected by CITES.

- ◆ “Step 1—Judge Whether the Exporter Is Aware of CITES and Its Requirements:” on [page-2-8-17](#)
- ◆ “Step 2—Collect All Required Documents That Are Associated With the Export or Reexport:” on [page-2-8-17](#)
- ◆ “Step 3—Judge Whether or Not the Export Is Commercial:” on [page-2-8-18](#)
- ◆ “Step 4—Determine What Permits, Certificates, and Other Documents Must Accompany the Export:” on [page-2-8-18](#)
- ◆ “Step 5—Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate:” on [page-2-8-20](#)
- ◆ “Step 6—Determine, for American Ginseng, if the Roots Were Legally Taken in a State Approved for That Harvest Season:” on [page-2-8-21](#)
- ◆ “Step 7—Review All Relevant Documents to Confirm That They Are Unexpired, Completed, and Authentic:” on [page-2-8-23](#)
- ◆ “Step 8—Look for Any Alterations:” on [page-2-8-24](#)
- ◆ “Step 9—Compare the Documents to Each Other and to the Actual Shipment:” on [page-2-8-25](#)
- ◆ “Step 10—Endorse and Distribute Documents:” on [page-2-8-26](#)

FIGURE 2-8-4: Overview of steps for validating and endorsing documents for American ginseng

TABLE 2-8-14: Identifying Ginseng That Is Regulated by CITES

If the plant or plant product is (or was collected or harvested from):	And is:	And:	Then:
American ginseng (<i>Panax quinquefolius</i>)	A whole plant	→	GO to Step 1 —the movement of the article is regulated
	Roots (or from the roots)	Whole or broken	
		Root hairs, An extract or derivative	EXIT these procedures—the article is not regulated by CITES ◆ For domestic origin ginseng, GO back to Import Requirements on page 2.3.1 to identify import requirements and determine if an FPC can be issued
Chinese ginseng (<i>Panax ginseng</i>), ginseng (<i>Panax pseudo ginseng</i>), or Siberian ginseng (<i>Eleutherococcus senticosus</i>) (Excluding <i>Panax ginseng</i> from Russia)	Leaf, stem, flower, or seed (or from these structures)	→	◆ For foreign origin ginseng, GO back to PPQ Form 579 on page 2.6.1 to issue a reexport certificate

Step 1—Judge Whether the Exporter Is Aware of CITES and Its Requirements:

You need to know whether the exporter is aware of the legislation as they relate to the export of American ginseng to substantiate if there was an obvious attempt to defraud you or to violate the regulations.

Step 2—Collect All Required Documents That Are Associated With the Export or Reexport:

If addition to the certificates, permits, and export reports issued by DMA and PPQ, collect:

- ◆ State certificates
- ◆ Invoices
- ◆ Waybills, and
- ◆ Other shipping documents

Use these shipping documents to verify weights, numbers, and kinds of articles being exported. All American ginseng must be invoiced by the exporter and marked or identified with:

- ◆ The identity of the plant (American ginseng—*Panax quinquefolius*)
- ◆ The State where collected or cultivated

- ◆ The name and address of the consignee
- ◆ The name and address of the exporter or shipper
- ◆ A shipper's mark and number
- ◆ The serial number of the permit or certificate issued for the product's export or reexport

Additional Requirements for Mail Shipments. For a mail shipment, the product must be double wrapped with an unsealed inner wrapping addressed to the consignee and have sufficient postage to reach the foreign destination. The marking and identification must be shown on the outside of the package. In addition to the outside marking requirements, the name, address, and telephone number of the intended recipient in the United States must be included on a separate sheet of paper placed inside the package. (Ref: 7CFR 355.21).

Step 3—Judge Whether or Not the Export Is Commercial:

Whether the shipment is commercial or noncommercial will influence the actions you take to certify protected plants. In addition to reviewing the documents and interviewing the exporter, use the criteria in [Table 2-8-15](#) to separate commercial from noncommercial shipments:

TABLE 2-8-15: Determining Whether a Shipment Is Commercial or Noncommercial

If:	Then consider the export:
The American ginseng or its products are known to be for sale or resale	Commercial
The products are consigned to a trading company, wholesaler, or dealer	
The volume and variety of roots or ginseng products exceed what can be reasonably considered for personal use	
The parties are involved in commercial activities as evidenced by State registration, a business, or advertisements in periodicals and catalogs	
None of the above criteria apply	Noncommercial

Step 4—Determine What Permits, Certificates, and Other Documents Must Accompany the Export:

Determine what documents must accompany the export, then determine what, if any, documents are missing. Use [Table 2-8-16](#) as a checklist for determining if the export or reexport is appropriately documented.⁴

⁴ Wild and cultivated roots may not be exported under the same Federal and State documents as each type of root has different export criteria.

TABLE 2-8-16: Determining the Documentation Requirements

If the American ginseng is being:	And was:	Then use:
Exported	Collected from the wild	Table 2-8-17
	Harvested from cultivated plants	Table 2-8-18
Reexported	—————→	Table 2-8-19

Exporters need separate CITES export permits for American ginseng collected from different harvest seasons. For example, if a person or company is exporting roots collected between October 1993 and October 1994, two export permits specific to the harvest season⁵ must be presented.

TABLE 2-8-17: Determining the Required Documentation for the Export of American Ginseng Collected From the Wild

If the export is:	Then you need to have:
Commercial	<ul style="list-style-type: none"> ◆ Evidence that the exporter has a General Permit ◆ A copy of the invoice, and ◆ Originals and copies of Federal and State issued documents as described for noncommercial shipments in the cell below
Noncommercial	<ul style="list-style-type: none"> ◆ An original and 3 copies of the DMA issued Export Permit for each harvest season ◆ An original and a copy of the Wild Ginseng Export Report (the original will be attached to the Federal Export Permit), and ◆ An original¹ and a copy of the State issued American Ginseng Export Certificate

- 1 In general, accept only the original State Certificate. However, if the exporter or dealer modified the State Certificate by writing the lower weight of ginseng being exported, and certified this change with the written words, “I made these changes on [date]” followed by the full legal signature of the dealer or exporter—a photocopy of the original State Certificate may be used. This certificate must be modeled in accordance with Federal Regulations (see [Figure E-1-15 on page-E-1-27](#) for a sample).

Go to [Table 2-8-20](#) to allow the exporter the opportunity to supply any missing documents.

The exporter must present, in addition to the Certificate of Artificially Propagated Ginseng and the American Ginseng Export Report, a document⁶ from the State that certifies the American ginseng was cultivated (artificially propagated).

- 5 The “Wild Ginseng Export Report” will list the States authorized for export for a particular harvest season.
6 The Cultivated Ginseng Export Report will name the approved State(s) of origin.

TABLE 2-8-18: Determining the Required Documentation for the Export of American Ginseng Collected From Cultivated Plants

If the export is:	Then you need to have:
Commercial	<ul style="list-style-type: none">◆ Evidence that the exporter has a General Permit◆ A copy of the invoice, and Originals and copies of Federal and State issued documents as described for noncommercial shipments in the cell below
Noncommercial	<ul style="list-style-type: none">◆ An original and 3 copies of the DMA issued Certificate of Artificially Propagated Ginseng◆ An original and a copy of the Cultivated Export Report (this will be attached to the Federal Certificate identified above), and◆ An original and a copy of the State issued American Ginseng Export Certificate

Go to [Table 2-8-20](#) to allow the exporter the opportunity to supply any missing documents.

The reexport of foreign cultivated American ginseng requires an DMA issued CITES Reexport Certificate. Go to [Table 2-8-20](#).

TABLE 2-8-19: Determining the Required Documentation for the Reexport of American Ginseng

If the export is:	Then you need to have:
Commercial	<ul style="list-style-type: none">◆ Evidence that the exporter has a General Permit◆ A copy of the invoice, and◆ Copies of Federal and foreign issued documents as described for noncommercial shipments in the cell below
Noncommercial	<ul style="list-style-type: none">◆ An original and a copy of the DMA issued Certificate of Reexport◆ A copy of the foreign document (permit, certificate or in-lieu-of permit) that proves legal import into the United States

Step 5—Allow the Exporter the Opportunity to Supply Any Missing Documents When Appropriate:

See [Table 2-8-20](#) to determine your action when the exporter is missing required permits or certificates.

TABLE 2-8-20: Allowing the Exporter the Opportunity to Supply Missing Documentation

If the exporter:	Then:
Lacks any of the permits, certificates, or export reports issued by DMA	1. REFER the exporter to DMA ¹ , and 2. REFUSE to issue an FPC and validate any DMA issued documents until the exporter supplies the missing permit, certificate, or report
Lacks a USDA General Permit (PPQ Form 622)	1. CONFIRM that the export is commercial 2. GIVE the exporter a copy of the application for a General Permit ² , and 3. REFUSE to issue an FPC and to endorse any DMA issued documents until the exporter gives you evidence that he or she holds a current General Permit
Lacks a State Export Certificate ³	REFUSE to issue an FPC and to endorse any DMA issued documents until the appropriate State Certificate is presented
Has the necessary documentation	GO to Step 6

- 1 If exporters lack CITES or ESA documents, they may call DMA at (703) 358-2093, 358-2095 for information. Correspondence should be addressed to: U.S. Fish and Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, VA 22203-3507.
- 2 If exporters need a General Permit or have questions related to General Permits, they should write to: PPQ-APHIS-USDA, Permit Unit, 4700 River Road, Riverdale, MD 20737.
- 3 In general, accept only the original State Certificate. However, if the exporter or dealer modified the State Certificate by writing the lower weight of ginseng being exported, and certified this change with the written words, "I made these changes on [date]" followed by the full legal signature of the dealer or exporter—a photocopy of the original State Certificate may be used. This certificate must be modeled in accordance with Federal Regulations (see [Figure E-1-15](#) for a sample).

Step 6—Determine, for American Ginseng, if the Roots Were Legally Taken in a State Approved for That Harvest Season:

Compare the American Ginseng Export Report with the accompanying State American Ginseng Export Certificate. Make sure the roots were legally taken in a State approved for that harvest season⁷. Remember that the "Report" lists the States authorized for export for that particular season and that wild roots collected from different harvest seasons need separate "permits and reports."

⁷ If exporters need to know the State populations for which the export may be permitted, refer them to 50CFR 23.51 (Subpart F—Export of American Ginseng).

* * * * *			
WILD GINSENG EXPORT REPORT		1985 HARVEST SEASON	US Cert. # 4297
Directions to Permittee: Complete the following and securely attach State document(s) which certify that the ginseng was legally taken from those States.			
Port of export <u>San Francisco, CA</u>		Shipment # <u>1</u> (List numerically--begin with #1.)	
Date of export <u>May 26, 1986</u>			
Consignee: <u>Hua Chung Ginseng Im.-Ex. Co.</u>			
<u>Blk 624, ANG MO KUO</u>			
<u>Ave. 16# 02-1402</u>			
<u>Singapore 2265</u>		<u>(Permittee's signature)</u>	
States authorized for export for 1985 season:			
<u>State</u>	<u>Weight</u>	<u>State</u>	<u>Weight</u>
Arkansas		Missouri	
Georgia		North Carolina	
Illinois		Ohio	
Indiana		Tennessee	<u>13-0</u>
Iowa		Vermont	
Kentucky		Virginia	
Maryland		West Virginia	<u>110-0</u>
Minnesota		Wisconsin	
Total Weight in this shipment:		<u>123-0</u>	
Endorsement:			
Signature of APHIS-PPQ Inspector			
Official APHIS-PPQ Stamp			

FIGURE 2-8-5: Examples of the American Ginseng Export Report and the State American Ginseng Export Certificate

Check to make sure that the State Certificate and the Export Report match in weight of roots and harvest season authorized. If there is a match, then the roots were legally taken.

1. If the ginseng was legally taken and appropriately documented, proceed to the next step.
2. If all, or a portion of the ginseng was illegally taken, and you judge that the export is a repeat violation, or an obvious attempt to mislead you or to conceal the fact that the roots were collected from the wild, then **begin processing the violation**. Refuse to issue an FPC and to endorse the DMA issued documents. Make sure that all illegally collected material is removed from the shipment. Go to **Process Violations of CITES** or **ESA** (page 2.8.32).
3. If the exporter or the exporter's agent agrees to remove the illegally collected root, and you decide that initiating forfeiture procedures is inappropriate, then line through the unauthorized entry on the invoice and write "NOT AUTHORIZED" across it. Make sure that all illegally collected material is removed from the shipment.⁸ Go to **Step 7**.

⁸ If it is impracticable to separate the exact "illegal" roots from the "legal" roots because they were commingled from more than one source—then remove just the weight of the roots that is equivalent to the weight moving in violation of CITES.

Step 7—Review All Relevant Documents to Confirm That They Are Unexpired, Completed, and Authentic:

1. Verify That the Document Is Current—If the permit or certificate has expired, then tell the exporter that the document must be replaced with a current one.⁹ Go to [Table 2-8-21](#) to determine if the document has expired.

TABLE 2-8-21: Verifying Documentation to Be Current

If the document is a:	Then the expiration date can be found:
CITES permit or certificate	In Block 2 (upper right-hand corner of the form)
General Permit	On a line at the bottom left-hand side of the form

2. **See That CITES Permits and Certificates Have Been Completed**—On these forms, the exporter must fill in Blocks 4 and 11. The exporter does **not** fill in any information on the General Permit.

See that the Ginseng Export Report (for both wild and cultivated American ginseng) has been completed. The exporter fills in all the information on this form and signs it with his or her name (not the company name). The exporter does not fill in any information in the endorsement block.

3. Go to [Table 2-8-22](#) and Authenticate the Document—See that it has an approved signature.

⁹ If exporters need to have new CITES documents issued (DMA does not renew documents), they should call DMA at (703) 358-2093, 358-2095. Correspondence should be addressed to U.S. Fish and Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, VA 22203-3507

If exporters need to have their General Permit renewed, or have questions about renewals, they should call the Permit Unit at 1-877-770-5990, fax at 1-301-734-8700, write to PPQ-APHIS-USDA, Permit Unit, 4700 River Road, Riverdale, MD 20737, or go to <http://www.aphis.usda.gov/ppq/permits/> on the internet.

TABLE 2-8-22: Verifying Documentation to Be Authentic

If the shipment is:	Then it must be signed by:
Issued by DMA	Mary Ellen Amtower Caroline Anderson Karen Anderson Bruce Babbitt Anna Barry Michael Carpenter Charlie R. Chandler Pamela Hall Marshall Jones Lisa Lierheimer Michael Moore Kristen Nelson I. Teiko Saito Kenneth Stansell Margaret Tieger Bruce Weissgold
A General Permit	A person authorized to do so by the USDA, APHIS, PPQ, PHP, Permits and Risk Assessments (PRA). If you have any questions, please call the permit unit at (301) 734-5055.

Step 8—Look for Any Alterations:

Look for any alterations (like erasures and forgeries), that may have been made to State, DMA, or PPQ issued permits or certificates. Note if:

- ◆ The date of issuance or expiration has been changed.
- ◆ The authorized weights have been altered on the State American Ginseng Report Certificates or CITES forms.
- ◆ The State American Ginseng Export Certificate shows both wild and cultivated roots (there cannot be both wild and cultivated roots on the same certificate).

If a permit or certificate shows evidence of forgery or alteration, document it and begin processing the violation. Refuse to issue an FPC and to endorse any DMA issued documents. Go to Process Violations of CITES or ESA (page 2.8.32).

Step 9—Compare the Documents to Each Other and to the Actual Shipment:

Compare documents to find if there are any discrepancies, omissions, inconsistencies, or inaccuracies.

- 1. Compare the Quantity**—Compare the number of containers listed on the waybill and/or invoice to that identified in Block 14 of the CITES permit or certificate. See that the weights authorized on the DMA issued documents and the total of weights shown on the State export certificates are what is actually being shipped.

TABLE 2-8-23: Verifying the Quantity of Plants

If the weight of the roots actually being exported:	Then:
Matches that shown on the State and Federal issued permits and/or certificates	GO to 2. below
Is less than what is allowed on the DMA issued permit or certificate	<ol style="list-style-type: none"> 1. ALLOW the exporter to draw a line through the original weight on the State certificate and write, by numbers, the lower weight 2. HAVE the exporter certify the change by writing, in ink, the statement, "I made these changes on [date]" followed by the full legal signature of the dealer or exporter, and 3. GO to 2. below
Is more than what is allowed on the DMA issued permit or certificate	REFUSE to issue an FPC and to endorse any DMA issued documents

- 2. Confirm That All Special Conditions Listed on DMA Permits and Certificates Have Been Met**—Special conditions are spelled out in Block 5 of CITES permits and certificates. If any condition is unmet, then refuse to endorse the documents and to issue an FPC until you resolve the noncompliance. Special conditions may restrict the exportation:

- ❖ Fixed times or exact dates
- ❖ Specific quantity or number of articles
- ❖ Particular sources

Blocks 5 and 11 will also alert you to whether or not the permit can be copied for repeated use.

- 3. Confirm That the Plants and Plant Products Being Exported Are Those That Are Authorized by DMA Issued Permits and Certificates**—Compare what's on the shipping or mailing documents with what's on the accompanying permits and certificates. If the export is identified as American ginseng that has been cultivated, make sure that it is not wild collected

ginseng. Use [Table 2-8-24](#) to help make a subjective discrimination between wild and cultivated American ginseng. Use [Table 2-8-25](#) to determine the appropriate action for processing authorized and illicit shipments of ginseng.

TABLE 2-8-24: Determining Whether American Ginseng Is Wild or Cultivated

Wild American Ginseng	Cultivated American Ginseng
1. Dense when squeezed	1. Less dense when squeezed
2. Gnarled	2. Less gnarled
3. Darker, earthier color	3. Lighter color
4. If broken, the interior is a darker color with few air spaces	4. If broken, the interior is a lighter color with numerous air spaces
5. Growth rings are close together and continuous	5. Growth rings are farther apart and not continuous
6. More than 4-6 bud scars on the neck of the root. See special conditions in Block 5 of permit	6. Rarely more than 4-6 bud scars on the root's neck

TABLE 2-8-25: Regulating the Shipment of American Ginseng

If:	Then:
All American ginseng roots or their parts are as authorized	GO to Step 10
Wild ginseng was substituted for cultivated ginseng or quantities were not authorized	GO to Process Violations of ESA or CITES, page 2.8.32 ¹

- 1 Begin Processing the Violation—If you determine that the unauthorized export is a repeat violation or you judge that there was an obvious attempt to mislead you or to conceal unauthorized material, then begin processing the violation. Refuse to issue an FPC and to endorse the DMA issued documents. Make sure that all unauthorized material is removed from the shipment.

Write in the Final, Legal Weight—If the exporter or the exporter's agent agrees to remove the illicit material, and you decide that initiating forfeiture procedures is inappropriate, write in the final, legal weight being exported on the appropriate line in Block 13 of the Export Permit or Certificate of Artificially Propagated Ginseng. Go to page 2.8.32.


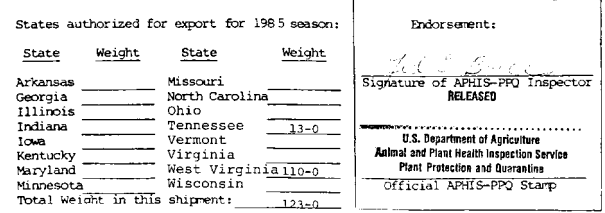
Step 10—Endorse and Distribute Documents:

Endorse and distribute DMA issued documents for the export of protected plants when you are certain that a violation of ESA and/or CITES has not occurred (see Process Violations of ESA or CITES, page 2.8.32). Once the plants or plant products meet the requirements of ESA and/or CITES, you may consider the items CERTIFIABLE and eligible for a Federal Phytosanitary Certificate. However, before you can issue a Federal Phytosanitary Certificate, import requirements ([Figure 2-3-1 on page-2-3-2](#)) and inspectional guidelines ([Figure 2-4-1 on page-2-4-2](#)) must be completed.

Complete blocks 13, 14, and 15 on the DMA Issued Export Permit or Certificate of Artificially Propagated Plants.

Endorse the CITES Permit or Certificate and Export Report as described in [Table 2-8-26](#).

TABLE 2-8-26: Endorsing the CITES Permit or Certificate and the DMA Export Report

To endorse the:	Do the following:
CITES permit or certificate	<ol style="list-style-type: none"> ENTER in Block 13 the actual quantities of ginseng roots being exported in each letter code. ENTER in Block 14 the waybill number, the port from where the ginseng roots are being exported, and the total number of shipping containers. ENTER in Block 15 the date (spell out month), your signature, and stamp "released." <div style="text-align: center;">  </div>
DMA export report	<ol style="list-style-type: none"> ENTER your signature. STAMP "released." <div style="text-align: center;">  </div>

Distribute the documents.

1. Allow one set of endorsed documents to go forward with the shipment. This set must include the original of the DMA issued permit or certificate with its accompanying Export Report.



Important

Never allow the State American Ginseng Export Certificate to go forward with the shipment.

2. Mark "COPY" across one set of the endorsed documents, returning this set to the exporter for the exporter's records.

3. Assemble and staple one complete set of the export documents for DMA. Include in this set a copy of:
 - A. An endorsed copy of the DMA issued permit or certificate with its accompanying Ginseng Export Report
 - B. The original American Ginseng Export Certificate¹⁰ issued by the State
 - C. The waybill signed by the carrier and the invoice
4. Send this assembled and stapled set to:

U.S. Fish and Wildlife Service
Division of Management Authority
4401 North Fairfax Drive, Room 700
Arlington, VA 22203-3507
5. Keep one set of the endorsed documents for your port files. This set should include a copy of the endorsed documents and a document that describes the contents of the shipment.
6. Discard any remaining copies.



If the plants or plant products meet the requirements of ESA and/or CITES, RETURN to Step 6, Determine if a Plant or Plant Product Is Prohibited in the Export Summary of EXCERPT, on page 2.3.3.

Process Violations of ESA or CITES

These procedures are only for plant material. Procedures have been established for the forfeiture of nonplant material (such as equipment shipped with the plant material or the means of conveyance) when the exporter is found violating ESA or CITES.

The following are violations of ESA and CITES:

- ◆ Falsifying export documents to hide the actual identification of the plant, the number or weight of the shipment, the location where the plant was grown, etc.
- ◆ Exporting protected plants without the documents required by ESA or CITES and issued by DMA

¹⁰ In general, accept only the original State Certificate. However, if the exporter or dealer modified the State Certificate by writing the lower weight of ginseng being exported, and certified this change with the written words, "I made these changes on [date]" followed by the full legal signature of the dealer or exporter—a photocopy of the original State Certificate may be used. This certificate must be modeled in accordance with Federal Regulations (see [Figure E-1-15](#) for a sample).

- ◆ Commercially exporting protected plants without a General Permit issued by PPQ
- ◆ Failing to keep records required by 7CFR 355.23 or refusing to make reports from these records when requested by PPQ
- ◆ Exporting plants out of a port that has not been designated for the movement of protected plants

Overview of the Steps:

The steps to take to process violations of ESA and CITES are referenced in [Figure 2-8-6](#).

- ◆ “Step 1—Set Up a System for Filing the Violations:” on [page-2-8-29](#)
- ◆ “Step 2—Confirm That the Violation Warrants Prosecution:” on [page-2-8-30](#)
- ◆ “Step 3—Seize the Plant or Plant Product:” on [page-2-8-30](#)
- ◆ “Step 4—Estimate the Retail Value of the Plant or Plant Product That Is Moving in Violation of the Legislation:” on [page-2-8-30](#)
- ◆ “Step 5—Start Forfeiture Procedures:” on [page-2-8-31](#)
- ◆ “Step 6—Safeguard the Seized Material:” on [page-2-8-33](#)
- ◆ “Step 7—Take Custody of Forfeited or Abandoned Material That Was Seized:” on [page-2-8-33](#)
- ◆ “Step 8—Start the Process for Getting Forfeited or Abandoned Live Plants to a Rescue Center:” on [page-2-8-34](#)

FIGURE 2-8-6: Overview of steps for processing violations of ESA and CITES

Step 1—Set Up a System for Filing the Violations:

The purpose of the filing system is to:

- ◆ Allow you to have immediate access to what actions were taken on seized property (in case you are asked questions about a particular action)
- ◆ Identify repeat offenders, and
- ◆ Facilitate a civil or criminal proceeding.

The principle document you will be filing is the Notice of Seizure and Proposed Forfeiture, PPQ Form 624. To set up your file, do the following:

- ◆ Give each shipment found in violation of the legislation its separate file.
- ◆ Number each file consecutively from the first seizure for the fiscal year. In your numbering, first show your port and the year. (See example in [Figure 2-8-7](#).)

Miami 88-01

FIGURE 2-8-7: Example of numbering configuration used in filing systems for violations

- ◆ Put Part 4 of the PPQ Form 624 in the front of each file, and update it as necessary.
- ◆ Retain each file for 5 years after the last documented action is taken.

Step 2—Confirm That the Violation Warrants Prosecution:

TABLE 2-8-27: Confirming That the Violation Warrants Prosecution

If you have:	Then:
A repeat violation	1. CONTINUE processing the violation; it warrants prosecution, and 2. GO to Step 3 , Seize the Plant or Plant Product
Evidence that a permit, certificate, or other official document was altered or forged to gain advantage	
An obvious attempt to mislead you or to conceal unauthorized material	
A violation that meets none of the criteria described in the three cells above ¹	DISCONTINUE processing the violation, but make sure the unauthorized material is removed from the shipment

- 1 The lack of ESA/CITES documents, the lack of a General Permit, or the attempt to export out of a non designated port may, in part, be due to the exporter's lack of knowledge of the regulations. If there is no obvious attempt to defraud or violate the regulations, provide the exporters with the required information and/or refer them to a designated port for clarification.

Step 3—Seize the Plant or Plant Product:

If you haven't already, seize the plant or plant product that is moving in violation of the legislation.

Step 4—Estimate the Retail Value of the Plant or Plant Product That Is Moving in Violation of the Legislation:

If the plants or their products are sold in the United States, then use the price asked or given for the items from the nearest retailer to estimate their value. If there is no market for the plants or their products in the United States, then use their invoiced value or any other reasonable means to estimate the retail value.

TABLE 2-8-28: Regulating Seized Material

If you estimate the value of the seized material to be:	Then:
More than \$10,000	GO Step 5 for procedures to be used when the value of the material exceeds \$10,000
\$10,000 or less	GO to page 2.8.37 for procedures to be used when the value of the material is \$10,000 or less

Step 5—Start Forfeiture Procedures:

The forfeiture procedures will allow you to gain legal custody of the material seized and to facilitate prosecution by DMA.

- 1. Forfeiture Procedures to Be Used When the Value of the Material Seized Exceeds \$10,000**—Follow these steps; then continue processing the violation.
 - A.** Complete PPQ Form 624, Notice of Seizure and Proposed Forfeiture. Edit the completed form so that there are no inaccuracies in Blocks 3 and 4 (these blocks are used to describe the property, why the property was seized, and your authority for the seizure).
 - B.** Make sure that all relevant documents have been collected and filed. Update the file as necessary.
 - C.** Immediately post Part 2 of PPQ Form 624 in a conspicuous place accessible to the public. The place must be at the PPQ office where the plants were seized. Keep the form posted for 21 days. Record the date and time of the posting on Parts 3 and 4 of the worksheet to PPQ Form 624.
 - D.** Using certified mail with a return receipt requested, send the following forms to the last known addresses of all people believed to be owners or agents of the seized materials. Make sure that you have recorded the file number of the violation on PPQ Form 624.
 - Part 3 (and copies of Part 3) of the PPQ Form 624
 - PPQ Form 625, Claim and Bond
 - PPQ Form 626, Petition for Remission or Mitigation of Forfeiture
 - E.** Record the people to whom you mailed Part 3 of PPQ Form 624 and accompanying documents on Part 4 of PPQ Form 624.
 - F.** Write a narrative report of all relevant facts and circumstances of the violation. Include names of any witnesses. Cite the laws believed to have been violated. If you need additional guidance, contact the Export Services staff in Riverdale, MD.

G. Within 5 working days, send the following documents to the Assistant District Attorney in the district where the plants or their products were seized. Send copies of all documents sent to the Assistant District Attorney to ES, Riverdale, MD, and to the regional director where the violation occurred.

- Your report
- The original and Part 4 of PPQ Form 624
- The documents that accompanied the shipment

H. Go to [“Step 6—Safeguard the Seized Material:” on page-2-8-33.](#)

2. Forfeiture Procedures to Be Used When the Value of the Material Seized is \$10,000 or Less—Follow these steps; then continue processing the violation.

A. Reconfirm that the violation warrants prosecution.

In order to continue processing the violation you must have encountered an obvious attempt to defraud you or to violate the regulations. If such was the case, continue to the next step.

If, on the other hand, there was no obvious attempt to defraud or violate the regulations, give the exporters the required information and/or refer them to a designated port for clarification. Do **not** continue processing the violation. The lack of ESA/CITES documents, the lack of a General Permit, or the attempt to export out of a non designated port may, in part, have been due to the exporter's lack of knowledge of the regulations.

B. Allow the owner the opportunity to either waive title to the material moving in violation of the legislation or to challenge the forfeiture of that material. Advise the owner that the material becomes forfeit after 21 days. If, after 21 days, a PPQ Form 625 (Claim and Bond) or a PPQ Form 626 is not received by the Deputy Administrator—the U.S. Government takes title to the material moving in violation of the legislation.

TABLE 2-8-29: Regulating Seized Material Valued at \$10,000 or Less

If the owner:	Then:
Agrees to waive title to the material	<ol style="list-style-type: none"> 1. Have owner COMPLETE and SIGN a PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property. Make sure the owner reads both sides of the form. 2. CONTINUE processing the violation
Returns to challenge the forfeiture of the material	<ol style="list-style-type: none"> 1. GIVE owner PPQ Forms 625 and 626 2. CONTINUE processing the violation
Is absent	<ol style="list-style-type: none"> 1. MAIL owner PPQ Forms 625 and 626 2. CONTINUE processing the violation

C. Complete PPQ Form 624, Notice of Seizure and Proposed Forfeiture, for material seized under CITES and ESA legislation, then:

- File the original at the PPQ office where the material was seized.
- Immediately post Part 2 of PPQ Form 624 in a conspicuous place accessible to the public. The place must be at the PPQ office where the plants were seized. Keep the form posted for 21 days. Record the date and time of the posting on Parts 3 and 4 of the worksheet to PPQ Form 624.
- Hand Part 3 of the form to the owner after you have filled in the file number. If unable to hand the form to the owner of the seized material, mail Part 3 to the owner at their last known address—use certified or registered mail with a return receipt requested.
- Keep Part 4 as a worksheet to know what has happened, who was notified, and when the next step is to be taken.

D. Go to [Step 6](#), Safeguard the Seized Material.

Step 6—Safeguard the Seized Material:

Safeguard and keep the plants alive until they leave your care.

Make sure that nothing is lost and that live plants are kept alive and healthy. Do whatever you can to enhance their survival.

Step 7—Take Custody of Forfeited or Abandoned Material That Was Seized:

You may take custody of the seized material if, after 21 days:

- ◆ A Claim and Bond was not received by the Deputy Administrator.
- ◆ The exporter did not come up with the required CITES or ESA documents or a General Permit.

To take custody of the plants:

1. Complete a PPQ Form 627, Declaration of Forfeiture. Refer to Parts 1 and 4 of PPQ Form 624 (the worksheet) to complete PPQ Form 627.
2. Using registered or certified mail with a return receipt requested—send a copy of PPQ Form 627 to the owner of the forfeited material.

The plants are now the property of the U.S. Government.

3. Record the date and time you mail PPQ Form 627 in Block 7(d) of the worksheet (Part 4 of PPQ Form 624).

Step 8—Start the Process for Getting Forfeited or Abandoned Live Plants to a Rescue Center:¹¹

Phone Port Operations (PO) in Riverdale, MD. Tell them:

- ◆ The number and kind of plants
- ◆ The location where the plants were grown
- ◆ The name of the port and the file number
- ◆ Whether the material is mailable

PO will relay the information to DMA who will select the rescue center. PO will give you the name of the rescue center.

Send the plants to the rescue center. If the shipment is too large to be mailed, PO will arrange for the rescue center to pay for shipping. Once arrangements are made to pay for the shipping, you will be advised.

Record the date and time you sent the plants to the rescue center in Block 7(c) of the worksheet (Part 4 of PPQ Form 624).

¹¹ A rescue center is a place that will grow the forfeited or abandoned plants to ensure their survival. Generally it is a public institution.

2

Export Certification
Manual

Methods And Procedures

Mail Exports

Contents

Export Plant Material by Mail [page-2-9-1](#)
Provide Procedures for Obtaining Certification [page-2-9-1](#)
Sample Procedures [page-2-9-2](#)

Export Plant Material by Mail

When plant material arrives at a port of exit for processing, perform the following steps:

1. Inspect the plant material.
 - A. If it is found free from plant pests and otherwise meets the import requirements of the foreign country, issue an FPC.
 - B. If the shipment is found to be infested or otherwise does not meet the import requirements of the foreign country, take the appropriate safeguard measures. Either contact the exporter by telephone and dispose of the infested plant material at their request, or return the plant material to the exporter with a brief explanation of why the material cannot be certified. Such returns will be made at the Government's expense.
2. Place the original copy of the FPC in the package.
3. Rewrap the package using the first wrapper.
4. Return the package to the postal authorities for forwarding to the foreign address.
5. Mail two copies of the FPC to the exporter.

Provide Procedures for Obtaining Certification

When exporters inquire about how to export plant material by mail, provide them with the procedural detail on page 2.9.3 and a PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export. Before giving or sending the procedure and form to the exporter, designate a port of exit address. Enter the address at the bottom of the procedure.

Sample Procedures

On page 2.9.3 is a sample of the procedures provided to exporters for obtaining Federal phytosanitary certification for plant material exported by mail.

PROCEDURES FOR OBTAINING FEDERAL PHYTOSANITARY CERTIFICATION FOR PLANT MATERIAL EXPORTED BY MAIL

The following procedure is suggested for exporters who desire Federal inspection and certification of plant material offered for export by mail.



This procedure is to be used for only mail shipments.

1. Apply for inspection and certification of the plant material by completing the enclosed PPQ Form 572, Application for Inspection and Certification of Domestic Plants and Plant Products for Export. Include your telephone number in case the certifying official needs to contact you.
2. Enclose the completed PPQ Form 572 with the plant material. Also include any State certificates that are required to certify the plant material.
3. Cover the plant material with the first wrapper. The wrapper should contain the following three items: (1) The foreign address, (2) The U.S. Customs' declaration (obtain it from your local post office), and (3) Postage to cover mailing the package from the United States to the foreign address. Place the postage and foreign address on the first wrapper so the package can be opened for inspection without defacing either the address or the postage.



Your local post office should not cancel this postage.

4. Apply a second wrapper to the package. The wrapper should contain enough postage to cover mailing the package to the port of exit listed at the bottom of this procedure.
5. Mail the package to the designated port of exit.

For your information, the certifying official at the port of exit will inspect the plant material. If it is found free from plant pests and otherwise meets the import requirements of the foreign country,

a PPQ Form 577, Federal Phytosanitary Certificate, is issued. The original copy of PPQ Form 577 is placed in the package, and two copies are mailed to you. Your package will be rewrapped with the first wrapper and returned to the postal authorities for forwarding to the foreign address.

If the plant material cannot be certified because it was found to be infested or otherwise does not meet the import requirements, you will be contacted by telephone. Your package either will be returned to you or disposed of.

DESIGNATED PORT OF EXIT:

2

Export Certification
Manual

Methods And Procedures

Containerized Oak Lumber

Contents

Introduction [page-2-10-1](#)
Inspect Containerized Oak Lumber [page-2-10-1](#)
Meeting Criteria and Verify Freedom From Bark [page-2-10-1](#)

Introduction

The preferred method of certifying lumber for export is to inspect the lumber before it is containerized. The fact that the lumber is tightly and neatly packed in containers does not negate the inspection function. Below is the standardized inspection procedures for certifying containerized oak lumber.

Inspect Containerized Oak Lumber

These guidelines are an acceptable basis for certification to be adopted as a standard by all work units. Use these guidelines along with the inspection procedures detailed under Inspectional Guidelines.

- ◆ Inspect the containerized oak lumber as thoroughly as possible without removing any bundles of lumber from the container.
- ◆ Concentrate on examining the exposed edges and butt ends of the lumber. Use a flashlight to help examine the lumber.
- ◆ When the lumber is being certified under the square edged criteria, refuse to certify the lumber if there is any evidence of bark or rounded surface tissue.
- ◆ When determining moisture content of containerized lumber, apply the prongs of the moisture meter to the butt ends of the boards. If the readings are between 15-20 percent, take additional readings on the boards parallel to the grain.

Meeting Criteria and Verify Freedom From Bark

As a reminder, exporters' affidavits or industry certifications stating the condition of wood offered for export are not to be accepted as basis for phytosanitary certification. Freedom from bark and meeting one of the criteria for oak lumber exports must be officially verified in all cases.

Refer Violations

Details of shipments found to be in violation of the import requirements of a receiving country are to be referred to a PPQ or State plant regulatory official nearest to the originating mill. Such officials will be responsible for visiting the mill in question for the purpose of correcting practices that may have resulted in denial of certification.

3

Export Certification
Manual

Glossary

Definitions and Explanations of Terms

Additional Declaration (AD) [page-3-1-2](#)
Affiliated Island (Insular areas monitored by the U.S. Department of the Interior) [page-3-1-2](#)
Agent [page-3-1-2](#)
Agricultural Marketing Service (AMS) [page-3-1-2](#)
Agricultural Stabilization and Conservation Service (ASCS) [page-3-1-2](#)
Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572) [page-3-1-3](#)
Approved Name [page-3-1-3](#)
Area Freedom [page-3-1-3](#)
Artificially Propagated [page-3-1-3](#)
Authorized Port [page-3-1-3](#)
Authorized Certification Official (ACO) [page-3-1-3](#)
Consignment: [page-3-1-4](#)
Consignment in Transit [page-3-1-4](#)
Contact Point Officer (CPO) [page-3-1-4](#)
Cooperator [page-3-1-4](#)
Domestic Products [page-3-1-4](#)
European Union (EU) [page-3-1-4](#)
EXCERPT (EXport CERTification Project) [page-3-1-4](#)
Export Certificates [page-3-1-5](#)
Export Services (ES) [page-3-1-9](#)
Federal Grain Inspection Service (FGIS) [page-3-1-9](#)
Foreign Products [page-3-1-9](#)
Grain Inspection, Packers and Stockyards Administration Agency (GIPSA) [page-3-1-9](#)
Growing Season Inspection [page-3-1-9](#)
Hybrid [page-3-1-10](#)
Import Permit (IP) [page-3-1-10](#)
Inspector [page-3-1-10](#)
International Plant Protection Convention (IPPC) [page-3-1-10](#)
ISPM [page-3-1-10](#)
Letter of Credit [page-3-1-10](#)
Monitoring (as it relates to treatments) [page-3-1-10](#)
Official Verification (OV) [page-3-1-11](#)
Party Country [page-3-1-11](#)
Pest [page-3-1-11](#)
Pest-Free Area [page-3-1-11](#)
Phytosanitary Note (PN) [page-3-1-11](#)
Plants [page-3-1-12](#)
Plants for Planting [page-3-1-12](#)
Plant Products [page-3-1-12](#)
Plant Protection and Quarantine (PPQ) [page-3-1-12](#)
Processed Products [page-3-1-12](#)
Quarantine Pest [page-3-1-12](#)
Regulated Non-quarantine Pest [page-3-1-13](#)

Shipment [page-3-1-13](#)
State Phytosanitary Certificate [page-3-1-13](#)
Summary [page-3-1-13](#)
Supervision (as it relates to treatments) [page-3-1-14](#)
Treatment [page-3-1-14](#)
Validation [page-3-1-14](#)

Additional Declaration (AD)

A statement that is required by an importing country to be entered on a phytosanitary certificate and which provides specific additional information pertinent to the phytosanitary condition of a consignment [FAO, 1990]

Affiliated Island (Insular areas monitored by the U.S. Department of the Interior)

An island associated with the United States but not fully integrated as a State (American Samoa, Commonwealth of the Northern Mariana Islands, Guam, Puerto Rico, and the Virgin Islands of the United States).

Agent

An agent is a person who is authorized by a State plant regulatory agency to conduct phytosanitary field inspections of seed crops. Agents may conduct phytosanitary field inspections of seed crops in cooperation with and on behalf of those State plant regulatory agencies electing to use agents and maintaining a Memorandum of Understanding with the Animal and Plant Health Inspection Service in accordance with the regulations. The Memorandum of Understanding must state that agents shall be used in accordance with the regulations in 7CFR 353. Agents are not authorized to issue Federal phytosanitary certificates, but are only authorized to conduct the field inspections of seed crops required as a basis for determining phytosanitary condition prior to the issuance of a phytosanitary certificate for the crops.

Agricultural Marketing Service (AMS)

The Federal agency that is responsible for inspecting, grading, classing, standardizing, regulating, sampling, testing, and reporting market news for specific agricultural and food commodities. Also, PPQ has approved the inspection certificates, FV Forms 146 and 294, issued by AMS as a basis for issuing an FPC for certain commodities.

Agricultural Stabilization and Conservation Service (ASCS)

The Federal agency that among other duties, is involved with certifying Title II (PL 480) commodities such as corn soya milk, corn soya blend, wheat protein concentrate, and vegetable oil. These types of commodities are not eligible for certification by an FPC.

Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572)

A form designed to provide the information needed to complete the phytosanitary certificate, and to serve as a worksheet for the certifying official conducting the inspection. Although this form is required by regulation, in practice, alternative methods are used to obtain the necessary information for inspection and certification. When PPQ Form 577, Federal Phytosanitary Certificate, is used by an exporter as an application, the exporter should complete only the description of consignment section. Authorized Certification Officials (ACO's) should carefully check that extraneous information was not included on the form by the exporter.

Approved Name

The approved names of countries are referenced in EXCERPT and must be used when completing the Federal Phytosanitary Certificate, PPQ Form 577, and the Phytosanitary Certificate for Reexport, PPQ Form 578. For each form, the approved name is placed in the heading block labeled "TO: THE PLANT PROTECTION ORGANIZATION(S) OF." Also, approved names are referenced on the Export Certification Manual and published in the International Standard, ISO 3166.

Area Freedom

See "[Pest-Free Area](#)"

Artificially Propagated

Parties of CITES recommend that the term "artificially propagated" be interpreted to refer only to plants grown by man from seeds, cuttings, callus tissue, spores, or other propagules under controlled conditions. The artificially propagated stock must be: (1) Established and maintained in a manner not detrimental to the survival of the species in the wild, and (2) Managed in a manner designed to maintain the artificially propagated stock indefinitely.

Authorized Port

Specific port of entry identified by the importing country that directs the entry of plants or plant products.

Authorized Certification Official (ACO)

A public officer who is authorized by the National Plant Protection Organization (NPPO) and accredited for the signing of phytosanitary certificates, who 1) possesses the required education, experience, and training; and 2) has written confirmation of having successfully passed an approved examination. (Accreditation)

Consignment:

One shipment of plants or plant products, from one exporter, to one consignee, in one country, on one means of conveyance; or any mail shipment to one consignee. (Ref: 7 CFR 353.1)

Consignment in Transit

Consignment which passes through a country without being imported, and without being exposed in that country to contamination or infestation by pest. The consignment may not be split up, combined with other consignments or have its packaging changed (formerly country of transit). (Ref: FAO)

Contact Point Officer (CPO)

A designated PPQ officer who is responsible for maintaining the quality and credibility of phytosanitary export certification. See [Appendix B](#) for a list of CPO's and their responsibilities or the EXCERPT home page via the Internet.

Cooperator

Plant regulatory officials designated as cooperators under the Cooperative Export Certification Program that their State has entered into with the U.S. Department of Agriculture (USDA). Specific plant regulatory officials are authorized by the Secretary of Agriculture to inspect and certify the phytosanitary conditions of plants and plant products offered for export and to issue FPC's. The officials designated as cooperators must meet or exceed the basic requirements for such a position: (1) A bachelor's degree in the biological sciences (2 years' experience (acquired at any time) may be substituted for the degree requirement), (2) A minimum of 1 years' experience in State plant regulatory activities; and (3) 1 years' experience in recognizing and identifying domestic plant pests known to occur within their respective States or generally throughout the United States.

Domestic Products

Plants and plant products grown or produced in the United States and its Affiliated Islands except for The Federated State of Micronesia and the Republic of the Marshall Islands.

European Union (EU)

Mutually beneficial association of the following countries (member states): Austria, Belgium, Denmark, Germany, Finland, France, Greece, Republic of Ireland, Italy, Luxembourg, Portugal, Spain, Sweden, Netherlands, and the United Kingdom.

EXCERPT (EXport CERTification Project)

An electronic data base which provides current information on the plant import requirements of foreign countries.

Export Certificates

Export certificates are documents that attest to the phytosanitary condition of plants or plant products and are issued by an Authorized Certification Official (ACO) (Federal, State, or county (California only)).

Three export certificates are issued by Authorized Certification Officials (ACO's) in the United States: (1) PPQ Form 577, Phytosanitary Certificate, (2) PPQ Form 578, Export Certificate, Processed Plant Products; and (3) PPQ Form 579, Phytosanitary Certificate for Reexport. PPQ Form 577 and PPQ Form 579 follow the format of the international model proposed at the International Plant Protection Convention (IPPC) in Rome in 1979. All three certificates are accountable forms that ports must record on the Export Certificate Record, APHIS Form 80-R. A user fee is charged for each form. Make sure all copies of the certificates are legible. Certificates must be typed, computer-printed, or completed in hand-printed uppercase letters. Use only English to fill in a certificate. Foreign words or phrases are not allowed, except the Latin binomial names of products or plant pests.

◆ **Phytosanitary Certificate, PPQ Form 577:**

The Phytosanitary Certificate, PPQ Form 577, is used to certify that the domestic plants or plant products have been inspected according to appropriate procedures, and they are considered to be free from quarantine pests, practically free from other injurious pests, and conform with the current phytosanitary regulations of the importing country. The Phytosanitary Certificate, PPQ Form 577, is sometimes referred to as an FPC (Federal Phytosanitary Certificate)—FPC refers to a phytosanitary certificate (PC) that is used by Authorized Certification Officials (ACO's) in the United States.

◆ **Export Certificate, PPQ Form 578:**

The Export Certificate, Processed Plant Products, PPQ Form 578 (abbreviated PPC) is used to certify approved processed products that cannot be issued a Phytosanitary Certificate, PPQ Form 577 (FPC). The PPC affirms that, based on inspection or processing, the product is believed to be free from injurious plant pests. Moreover, issue a PPC only for articles specified in EXCERPT. Unless specifically authorized in EXCERPT, never issue this form for an article that warrants an FPC!

◆ **Phytosanitary Certificate for Reexport, PPQ Form 579:**

The Phytosanitary Certificate for Reexport, PPQ Form 579 (also referred to as an FPC), certifies that, based on the original foreign phytosanitary certificate and/or an additional inspection, the plants or plant products officially entered the United States, are

considered to conform to the current phytosanitary regulations of the importing country, and have not been subjected to the risk of infestation of infection during storage in the United States.

PPQ Form 579 may also be used to certify commodities of foreign origin that are intended for reexport to a U.S. Affiliated Island. If using a PPQ Form 579 to certify a commodity moving to a U.S. Affiliated Island, use the same operational guidelines used to certify such products to a foreign destination.

Shipments of plants and plant products transiting the United States under Customs' bond are not eligible for reexport certification. Such shipments should be accompanied by a phytosanitary certificate from the country of origin if certification is required by the destination country.

◆ **Certificate of Heat Treatment, PPQ Form 553:**

A certificate issued by an inspector endorsing the statement of an exporter that the coniferous packing materials associated with a shipment to China for export have been heat treated to a minimum core temperature of 56 degrees centigrade for 30 minutes.

◆ **Confidentiality:**

Authorized Certification Officials (ACO's) who issue export certificates are to hold in strict confidence the information in these documents to protect buyers and exporters.

Certificates (PPQ Forms 577, 578, 579, and 553), as well as the Application for Inspection of Domestic Plants and Plant Products for Export (PPQ Form 572), frequently contain trade secrets or confidential information. If this information were disclosed, it might cause financial harm to the buyers and exporters.

Records containing trade secrets and commercial or financial information obtained from a person that is privileged or confidential is exempt from mandatory release under FOIA. (See Title 5, United States Code, Section 552(b)(4)). However, FOIA only applies to "agency records." These are records that are in the possession and control of a Federal agency at the time the FOIA request is made.

If a USDA employee is asked for a completed or partially completed Federal export certificate, any State record which provides the basis for a Federal export certificate, or any information in these documents, the USDA employee must forward the request to the Freedom of Information Act/Privacy Act (FOIA/PA) Officer for APHIS. The FOIA/PA Officer for APHIS

can be reached at (301) 734-8296. The address for the FOIA/PA Officer is Legislative and Public Affairs Staff, APHIS, USDA, 4700 River Road, Unit 50, Riverdale, Maryland 20737-1232.

Federal export certificates and State records which provide the basis for Federal export certificates which are maintained by State cooperating agencies and not by USDA are not subject to the Federal FOIA. However, many States have open government laws, which may require the release of records maintained by State agencies. If a State or county employee is asked for a completed or partially completed Federal export certificate, any State document which provides the basis for a Federal export certificate, or any information in these documents, the State or county employee should not release the document or information, unless appropriate State officials determine that release of the document or the information in the document is required by State law.

◆ **Accountability:**

To maintain the credibility of PPQ's entire phytosanitary export certification program, an accountability system was established to deter forgeries and control public misuse of the export certificates.

As a part of the accountability system, export certificates PPQ Forms 577, 578, and 579 are prenumbered in the top, right corner. Also, the following methods are to be used by PPQ, State, and county offices.

Record on the Export Certification Record (APHIS Form 80-R), in numerical order, all blank certificates prepaid by exporters or their agents. See Fees and Costs, Appendix 1, for detailed instructions on keeping this record. Each issuing office is to validate only those certificates originating in its respective office. Therefore, before allowing exporters to prepay for blocks of certificates, type or stamp all certificates with the name of the issuing office (whether Federal or State) in the block titled, "For Official Use Only." Issuing offices are responsible for the following:

- ❖ Keep to a minimum the number of prepaid certificates given out. Supply exporters or their agents with no more than a 3 months' supply of prepaid certificates. The exporters are to complete only the section titled, "Descriptions of the Consignment" and return the form to the issuing office for processing. Authorized Certification Officials (ACO's) should carefully review the information entered by the exporter to ensure the current procedures have not been violated. AD's are the responsibility of the Authorized Certification Officials

(ACO's). The exception is when the workload doesn't allow the certifying official to complete the certificate. In this case, the certifying official must dictate to the exporter the required AD. Check the wording of the AD for accuracy at the time the certificate is presented for authentication. If incorrect AD's are put on the certificates by exporters, new certificates must be prepared.

- ❖ Inform the users of prepaid certificates that they are responsible for returning all certificates to the issuing office for refunds or credits--including those certificates voided or otherwise ruined in typing. The users are also prohibited from prepaying blank certificates at one location and forwarding them to another location for processing.
- ❖ Tell exporters that a Processed Product Certificate is not a phytosanitary certificate and may not serve its intended purpose of facilitating the entry of the processed product. The certificate was created by PPQ to fill a void where no other USDA agency certification exists or can be adapted.

◆ **Purpose of the Certificates:**

The intended purpose of the export certificates is to expedite the entry of plants or plant products into a foreign country. In the case of FPC's, we certify to the foreign plant protection service that the shipment has been inspected and was found to conform to the phytosanitary import requirements of that country. In addition, we attest that the shipment is free from quarantine plant pests and pathogens and is practically free from other injurious pests.

In order to strengthen the credibility of the phytosanitary certificate, member nations of the IPPC agreed to address the certificate to the plant protection service of the foreign country. There is a specific block at the top of the certificate where the name of the foreign country is placed, thus addressing the certificate to the plant protection service of that country.

Export certificates are used to document the phytosanitary condition of exported plants and plant products. We discourage using the certificate as a commercial document. Ultimately, the exporter is responsible for meeting contract or letter of credit requirements and for obtaining consular visas when required by the foreign country. Contract requirements, letter of credit, or consular visas are not phytosanitary conditions and are not to be certified using export certificates.

When exporters want to use a State phytosanitary certificate, the certifying official should verify that a State certificate is acceptable to the foreign country and that the State certificate conforms to the format of the international model established by the IPPC.

Export Services (ES)

The Headquarters unit within the Animal and Plant Health Inspection Service (APHIS), U.S. Department of Agriculture (USDA), that administers the phytosanitary export certification program. Below are the address and telephone number for ES:

PPQ-APHIS-USDA
Export Services
4700 River Road, Unit 140
Riverdale, MD 20737
Telephone: (301) 734-8537
FAX: (301) 734-3249

Federal Grain Inspection Service (FGIS)

A service program within the Grain Inspection, Packers and Stockyards Administration Agency (GIPSA) that provides inspection of grain exports that are certified by an FPC. FGIS supplies PPQ with inspection results that are used to certify grain exports. Also, FGIS is responsible for inspecting, grading, classing, standardizing, sampling, witnessing treatments, and testing specific agricultural and food commodities.

Foreign Products

Plants and plant products grown or produced in countries other than the United States, its possessions, and the Commonwealth of Puerto Rico that have officially entered U.S. commerce.

Grain Inspection, Packers and Stockyards Administration Agency (GIPSA)

A Federal Agency that facilitates the marketing of livestock, poultry, meat, cereals, oilseeds, and related agricultural products, and promotes fair and competitive trading practices for the overall benefit of consumers and American agriculture.

Growing Season Inspection

An examination of plants during active growth to verify freedom from specific pests or pathogens. Also may include the growing media or soil.

Hybrid

For CITES purposes, the offspring of two genetically dissimilar taxa where at least one parent is listed in a CITES Appendix. This would include the offspring of parents belonging to different species, different genera, and crosses made between a species and a hybrid. Offspring from parents of the same species (i.e., intra-species crosses) are regulated as species and are not considered hybrids.

Import Permit (IP)

Official document authorizing importation of a commodity in accordance with specified phytosanitary requirements [FAO, 1990; revised FAO, 1995].

Inspector

Person authorized by a National Plant Protection Organization to discharge its functions [FAO, 1990].

International Plant Protection Convention (IPPC)

International Plant Protection Convention, as deposited with FAO in Rome in 1951 and as subsequently amended [FAO, 1990].

ISPM

Abbreviation for International Standard for Phytosanitary Measures

Letter of Credit

A letter issued by a bank authorizing the exporter to draw a stated amount of money from the issuing bank. Letter of Credit is strictly a fiduciary document and should not be referenced on the Phytosanitary Certificate

Monitoring (as it relates to treatments)

Where monitoring by PPQ is not practical, supervision by State quarantine officials or other reliable agencies is acceptable. The details of all disinfesting or disinfecting treatments (fumigation, insecticide sprays, dips, etc.) will always be included on the certificate. All treatments must be conducted in an approved manner and certified to by a reliable source, preferably a Government official experienced in monitoring such treatments. On occasion and when circumstances warrant, a notarized statement from a licensed pest control operator (certified for the type of treatment applied) may be accepted in lieu of official monitoring. Treatment schedules should be those provided by foreign plant protection officials or those approved by PPQ and in accordance with the PPQ Treatment Manual or product label directions.

Official Verification (OV)

Confirmation by an Authorized Certification Official (ACO) that certain plant health conditions have been satisfied. OV's are not entered on the phytosanitary certificate.

Party Country

A country, including its territories, that is a party to the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), by virtue of ratification or accession.

Pest

Any species, strain or biotype of plant, animal, or pathogenic agent injurious to plants or plant products [FAO, 1990; revised FAO, 1995; IPPC, 1997].

◆ Quarantine Pest:

A pest of potential national economic importance to a country where the pest is not present, or where the pest is present but not widely distributed and is being actively controlled.

The quarantine pests referred to in the certifying statement on the FPC are those pests listed by foreign countries as being prohibited noxious organisms.

Other injurious pests are those capable of causing damage to the agriculture, forestry, and natural resources of a country whether or not the pest is already established in the country.

Pest-Free Area

An area in which a specific **pest** does not occur as demonstrated by scientific evidence and in which, where appropriate, this condition is being **officially** maintained [FAO, 1995].



Refer to the "NAPPO Standard for Pest-Free Areas" for details (contact your regional office for a copy). This standard lays out the requirements for: establishing pest-free areas; maintaining pest-free areas; termination of pest-free status; and the reinstatement of pest-free status. Establishing the status is based on surveys.

Phytosanitary Note (PN)

Information provided by Export Services (ES) to field personnel on an as needed basis. The notes are a quick avenue ES can use to get current and accurate information to field locations concerned with the export of plants and plant products.

Information contained in the notes can include such items as follows: Interpretation of import requirements of a foreign country, import requirements of a foreign country that there is no summary for, and administrative guidance that answers questions that have been addressed to ES.

Plants

Living plants and parts thereof, including seeds and germplasm [FAO, 1990; revised IPPC, 1997].

Any plant (including any plant part) for or capable of propagation, including a tree, a tissue culture, a plantlet culture, pollen, a shrub, a vine, a cutting, a graft, a scion, a bud, a bulb, a root, and a seed. [Plant Protection Act 2000]

Plants for Planting

Plants intended to remain planted, to be planted or replanted [FAO, 1990].

Plants in Tissue Culture

Plants in an aseptic medium in a closed container (FAO, 1990; revised CEPM, 1999)

Plant Products

Unmanufactured material of plant origin (including grain) and those manufactured products that, by their nature or that of their processing, may create a risk for the introduction and spread of pests (FAO, 1990; revised IPPC, 1997; formerly Plant product).

Plant Protection and Quarantine (PPQ)

The organizational unit within APHIS, USDA, accountable for assisting exporters in meeting the plant quarantine import requirements of foreign countries.

Processed Products

A commodity derived from a plant; that commodity having been subjected to a procedure that is believed to have rendered the commodity free from plant pests. See EXCERPT for a list of processed products that may be issued a PPC.

Quarantine Pest

A pest of potential economic importance to the area endangered thereby and not yet present there, or present but not widely distributed and being officially controlled (FAO, 1990; revised IPPC, 1997).

Regulated Non-quarantine Pest

A non-quarantine pest whose presence in plants for planting affects the intended use of those plants with an economically unacceptable impact and which is therefore regulated within the territory of the importing contracting party. (IPPC, 1997)

Shipment

One exportation of plants or plant products from one exporter to one consignee in one country. Except as noted below, only one original certificate will be issued per shipment.

Issue multiple original certificates only when one of the five following conditions exists:

- ◆ Multiple ports of loading in the United States
- ◆ Multiple ports of discharge in the foreign country
- ◆ For bulk grain, multiple berths in the same port
- ◆ Different genera of bulk materials loaded on one carrier
- ◆ For containerized shipments, each van may require an original certificate. (NOTE: As a general rule, this practice is to be discouraged unless required by the plant protection service of the foreign country.) Shipments going from interior places by rail to a port for consolidation are eligible for only one certificate—they are still only one consignment. If for some reason certificates of inspection are necessary for each rail car, we suggest that State certificates be issued for consolidation into one FPC at the port of export.



Samples are considered commercial shipments.

State Phytosanitary Certificate

A document issued by a plant regulatory official of a State Department of Agriculture attesting to the phytosanitary condition of plants or plant products. A State certificate documents origin, treatment, active growth field inspection, virus indexing, or other special conditions. Some foreign countries will accept a State certificate as being valid when it conforms to the international model established by the IPPC.

Summary

The interpretation of the plant quarantine import requirements of a foreign country. The summaries provide guidance to PPQ officers, State and county cooperators, and other persons concerned with the exportation of plants and plant products. ***The summaries are not to be considered legally authoritative.*** They are written from

translated plant quarantine regulations, official instructions, and other information provided by officials in foreign countries. The summaries are found in EXCERPT.

In some instances, summaries contain information about requirements that are not of a phytosanitary nature. Subsidiary and nonphytosanitary requirements are provided only as further information to the exporter and may include information regarding economic permits, quantity or quality restrictions, or methods of packaging.

Supervision (as it relates to treatments)

See Monitoring (as it relates to treatments)

Treatment

Officially authorized procedure for the killing, removal or rendering infertile of pests. [FAO, 1990; revised FAO, 1995].

Validation

Establishing documented evidence that provides a high degree of assurance that a specific process will consistently produce a product (quarantine security) meeting predetermined specification and quality characteristics (irradiation).

Appendixes

Appendix A	Fees and Costs page-A-1-1
Appendix B	A List of Contact Point Officers page-B-1-1
Appendix C	Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572) page-C-1-1
Appendix D	Compilation of Contacts for Various Agencies and Official Certificates Issued by Various Agencies and States That May or May Not Be Acceptable in Place of Inspection page-D-1-1
Appendix E	Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species page-E-1-1
Appendix F	Cooperative Federal-State Phytosanitary Export Certification Program page-F-1-1
Appendix G	Mill Certification Programs for Coniferous Sawn Wood page-G-1-1
Appendix H	Issuing Compliance Agreements (PPQ Form 519) With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton page-H-1-1
Appendix I	Plants in Growing Media page-I-1-1
Appendix J	Maintenance: Supporting and Updating the Export Certification Manual page-J-1-1
Appendix K	Directory of Phytosanitary Notes page-K-1-1
Appendix L	Approved Country Names page-L-1-1
Appendix M	Emergency Response page-M-1-1
Appendix N	Certification Violations page-N-1-1
Appendix O	United States/Canada Greenhouse Certification Program page-O-1-1
Appendix P	U.S. Export Standards for Seed Potatoes page-P-1-1

Appendix Q [Accreditation Program](#) [page-Q-1-1](#)



Appendix A

Fees and Costs

Contents

Introduction	page-A-1-1
Charge User Fees	page-A-1-3
Accept and Record Prepayment	page-A-1-9
Reissue and Replace Certificates	page-A-1-12
Maintain Accountability	page-A-1-16
Handle Refunds and Credits	page-A-1-19
Manage Records	page-A-1-19
Samples	page-A-1-22

Introduction

This appendix covers the directions for collecting user fees for export certificates. A fee must be collected for each certificate issued, except for certificates issued by States or counties, or those issued for the reexport of noncommercial shipments. Charges for certificates issued by States or counties are dependent upon State or county policy. Also, reexport certificates for noncommercial shipments are issued free of charge.

Collect fees for these three certificates:

- ◆ Federal Phytosanitary Certificate, PPQ Form 577
- ◆ Export Certificate, Processed Plant Products, PPQ Form 578
- ◆ Phytosanitary Certificate for Reexport, PPQ Form 579

Payment by check or money order must be made payable to APHIS (see Quick Reference Guide for Applying User Fees, [Table A-1-10](#) and [Table A-1-11](#)). Payment may be accepted as a personal check, money order, cashier's check, certified check, traveler's check, or cash. **All Government agencies are charged the \$23 fee for certificates.**

Payment from USDA agencies can be collected through an inter-agency agreement. If a particular USDA agency/facility requests such an arrangement, the agreement must be signed before certificates can be issued. The facility should contact the Agreement Services Center staff at PPQ Headquarters to set up this agreement. Check with the Export Services (ES) at the beginning of each fiscal year to determine which agencies/facilities have valid agreements.

All of the revenue for PPQ's export certification program will be generated directly by user fees. Since Authorized Certification Officials (ACO's) are the main contact with the exporter, their performance in collecting user fees is crucial to the financial soundness of PPQ's export certification program.

Exporters may pay for the service when provided or may prepay. If an exporter wants to prepay for a block of certificates, the certifying official will accept prepayment and record the transaction on an Export Certificate Record (ECR), APHIS Form 80-R (see [Figure A-1-5](#) for a sample of an ECR). Therefore, an Authorized Certification Official (ACO) will either be handed a prepaid certificate or the exporter will pay for the certification service when delivered—in which case the certifying official will collect a check or money order for the correct amount.

Every certificate issued by a PPQ officer must be recorded on an ECR. This recording requirement is both for prepaid certificates and certificates issued at the officer's work unit. Each work location will have a block of certificates issued to it, with its associated ECR. As certificates are validated, the officer must log in the appropriate information on the ECR.

In addition to user fees, PPQ charges for inspections performed on overtime (outside of duty hours) when the inspections are requested by exporters. Overtime charges as well as user fees charged by PPQ must conform to 7CFR 354, "Overtime Services Relating to Imports and Exports; and User Fees."

Overview:

There are six major tasks associated with collecting user fees:

- ◆ "Charge User Fees" on [page-A-1-3](#) through [page-A-1-9](#)
- ◆ "Accept and Record Prepayment" on [page-A-1-9](#) through [page-A-1-12](#)
- ◆ "Reissue and Replace Certificates" on [page-A-1-12](#) through [page-A-1-16](#)
- ◆ "Maintain Accountability" on [page-A-1-16](#) through [page-A-1-19](#)
- ◆ "Handle Refunds and Credits" on [page-A-1-19](#) through [page-A-1-19](#)
- ◆ "Manage Records" on [page-A-1-19](#) through [page-A-1-22](#)

FIGURE A-1-1: Overview of tasks for collecting user fees

Materials:

Here is what Authorized Certification Officials (ACO's) need to have on hand for collecting user fees:

- ◆ Blank copies of the Export Certificate Record (ECR) (see [Figure A-1-5 on page-A-1-24](#))

- ◆ A book of blank receipts, SF Form 1165
- ◆ Blank copies of a Record of Public Funds Received, APHIS Form 94 for remitting fees to a lock box (see [Figure A-1-6 on page-A-1-25](#))
- ◆ Blank copies of export certificates for certifying commodities, PPQ Forms 577, 578, and 579
- ◆ Blank copies of Transmittal and Receipt for Accountable Items, APHIS Form 47, for transferring accountability for export certificates (see [Figure A-1-7 on page-A-1-26](#))
- ◆ Blank copies of Monthly Summary of Export Certificates Issued for reporting results (See [Figure A-1-8 on page-A-1-27](#) and [Figure A-1-9 on page-A-1-28](#))

Charge User Fees

Determining how much to charge for the service depends upon four factors:

- ◆ Whether you are issuing the certificate on noncontagious, reimbursable overtime; or on regular time or contiguous, reimbursable overtime;
- ◆ Whether the export is for gain or profit (commercial) or neither for gain nor profit (noncommercial);
- ◆ For commercial shipments, whether the invoiced value is less than \$1,250;
- ◆ The kind of certificate that's issued
 - ❖ PPQ Form 577, 578, or 579.

Establish when the certificate will be issued.

TABLE A-1-1: Determining How to Charge for Certificates

If issued on:	Then:
Noncontagious, reimbursable overtime	GO to Charge for Certificates Issued on Noncontagious, Reimbursable Overtime
Regular time	GO to Charge for Certificates Issued on Regular Time and on Contiguous, Reimbursable Overtime
Contiguous, reimbursable overtime	

Charge for Certificates Issued on Noncontagious, Reimbursable Overtime:

Confirm whether the exporter will use a prepaid certificate. If the exporter hands you a prepaid certificate, you'll need to have the appropriate ECR that contains the serial number of the certificate at

hand. The exporter is due a credit since PPQ does not want to charge twice (both the price prepaid for the certificate and the amount that's being paid on reimbursable overtime).

Exporters have the option of using one of their prepaid certificates or paying for a certificate in PPQ's inventory. You cannot mandate the use of a prepaid certificate.

Refer to [Table A-1-2](#).

Charge for Certificates Issued on Noncontagious, Reimbursable Overtime:

TABLE A-1-2: Processing Certificates Issued on Noncontagious, Reimbursable Overtime

If the exporter:	Then:
Presents a prepaid certificate	<ol style="list-style-type: none"> 1. GET APHIS Form 80-R, ECR, that lists the serial number of the certificate the exporter hands you. 2. ENTER the date in Block 16 of the ECR adjacent to the certificate's serial number. 3. CHECK Block 20 of the ECR to show that a \$43 credit is due because the job is being done on reimbursable overtime. 4. ENTER \$43 in Block 22 of the ECR. 5. CHECK Block 17 and INITIAL Block 23 of the ECR to show the certificate was used. 6. PREPARE an APHIS Form 89 and FOLLOW standard billing or cash on delivery (c.o.d.) procedures. 7. RECORD the certificate's serial number in Block 12 (Identity of Service) of APHIS Form 89.
Does not present a prepaid certificate	<ol style="list-style-type: none"> 1. WAIVE the user fee. The inspection will be done on reimbursable overtime and charged accordingly. 2. ENTER the date in Block 16, CHECK Block 17, and INITIAL Block 23 of the ECR. 3. WRITE "Issued on ROT" across Blocks 18 through 22 of the ECR. 4. PREPARE an APHIS Form 89 and FOLLOW standard billing or c.o.d. procedures. 5. RECORD the certificate's serial number in Block 12 (Identity of Service) of APHIS Form 89.

Charge for Certificates Issued on Regular Time and on Contiguous, Reimbursable Overtime:

If the job is done on contiguous, reimbursable overtime, charge overtime and the user fee.

- 1. Determine if the Shipment Is Commercial or Noncommercial (Samples are considered commercial shipments)**–If the shipment is for gain or profit, then categorize it as commercial. If the exporter presents an invoice, determine whether the invoiced value of the shipment exceeds \$1,250.

If the shipment is neither for gain nor profit, then categorize it as noncommercial. If the shipment is under an Agricultural Stabilization and Conservation Service (ASCS) program, then the shipment is noncommercial. For ASCS shipments to qualify for the noncommercial rate, the exporter or the exporter's agent must present one of the following documents:

- ◆ CCC 512 (Notice of Commodity Availability)
- ◆ KC 269 (Notice to Deliver)
- ◆ KC 269-A (Forwarding Notice)



Important

Use your best professional judgment and the documentation accompanying the exportation to establish the shipment's value and to discriminate commercial shipments from noncommercial shipments.

(Samples are considered commercial shipments)

2. Set the Fee.

TABLE A-1-3: Setting Certificate Fees

If the certificate to be issued is a:	And the shipment is:	And it is invoiced at:	Then:
Federal Phytosanitary Certificate, PPQ Form 577	Noncommercial	—————→	SET the fee at \$23 ¹
	Commercial	\$1,250 or less ²	SET the fee at \$50
Export Certificate Processed Plant Product, PPQ Form 578	—————→	More than \$1,250	
Phytosanitary Certificate for Reexport, PPQ Form 579	Commercial	More than \$1,250	
		\$1,250 or less ¹	SET the fee at \$23 ²
	Noncommercial	—————→	DO NOT CHARGE

1 Currently, there are no provisions for allowing a company to purchase prepaid certificates at the \$23 rate.

2 The importer must provide a commercial invoice in order to receive the reduced fee. Furthermore, the quantity of produce declared and number and description of packages on the certificate must exactly match those found on the invoice accompanying the shipment. Attach a copy of the invoice to the port copy of the phytosanitary certificate, and file this documentation for future reference.

3. Collect or Document the Amount Due—Accept a personal check only if it is for \$100 or less.



If a check bounces, and the exporter or exporter's agent fails to settle, refuse any additional service until the outstanding balance is paid.



Don't accept cash unless it is absolutely necessary. If it is necessary to accept cash, tell the exporter you will accept cash once only. Tell the exporter that the next time you must have a check or money order made payable to APHIS. If the exporter asks for a receipt, issue one using SF 1165 (a generic receipt form). Checks drawn on a foreign bank must be payable in U.S. funds.

TABLE A-1-4: Where to Document the Amount Due

If the exporter:	Then:
Presents a prepaid certificate	GO to Document Your Actions on the ECR When Presented a Prepaid Certificate
Does not present a prepaid certificate	GO to Document Your Actions on the ECR When Accepting a Check or Money Order

4. Document Your Actions on the ECR When Presented a Prepaid Certificate

If the ECR is at a different location within your port or work unit, then inform the office where the record is kept of the details of the transaction. Have the person recording the information initial Block 23 for you.

TABLE A-1-5: Documenting Your Action for Prepaid Certificates

If the fee was:	Then:
\$23	<ol style="list-style-type: none"> 1. GET the ECR that lists the serial number of the certificate the exporter hands you. 2. ENTER the date in Block 16 adjacent to the certificate's serial number. 3. CHECK Block 21 to show that an \$27 credit is due (the difference in fee between a commercial and low value/noncommercial shipment). 4. ENTER \$27 in Block 22. 5. CHECK Block 17 and INITIAL Block 23.
\$50	<ol style="list-style-type: none"> 1. GET the ECR that lists the serial number of the certificate the exporter hands you. 2. ENTER the date in Block 16 adjacent to the certificate's serial number. 3. CHECK Block 17 and INITIAL Block 23.
Not charged	<ol style="list-style-type: none"> 1. GET the ECR that lists the serial number of the certificate the exporter hands you. 2. ENTER the date in Block 16 adjacent to the certificate's serial number. 3. ENTER \$43 in Block 22. 4. WRITE "N/C, Noncommercial Reexport" across Blocks 18 through 21. 5. CHECK Block 17 and INITIAL Block 23.

5. Document Your Actions on the ECR When Accepting a Check or Money Order (not a prepaid certificate)

TABLE A-1-6: Documenting Your Action for Presented Certificates That Are Not Prepaid

If the fee was:	Then:
\$23	<ol style="list-style-type: none"> 1. GET the ECR that lists the serial number(s) of the certificate(s) that you will use. 2. CHARGE \$23 for each new certificate issued and write \$23 in the corresponding Block 17 that is titled "SIGNED." 3. TOTAL the charge for the number of certificates issued. 4. GET a check or money order for the total amount made out to APHIS.¹ 5. ENTER the date issued in Block 16. 6. INITIAL Block 23. 7. CONTINUE to 6. Remit Collected Fees.
\$50	<ol style="list-style-type: none"> 1. GET the ECR that lists the serial number(s) of the certificate(s) that you will use. 2. CHARGE \$50 for each new certificate issued and write \$50 in the corresponding Block 17 that is titled "SIGNED." 3. TOTAL the charge for the number of certificates issued. 4. GET a check or money order for the total amount made out to APHIS.¹ 5. ENTER the date issued in Block 16. 6. INITIAL Block 23. 7. CONTINUE to 6. Remit Collected Fees.
Not charged	<ol style="list-style-type: none"> 1. GET the ECR that lists the serial number(s) of the certificate(s) that you will use. 2. RECALL that there is no charge for reexport certificates issued for noncommercial shipments and write "N/C" in corresponding Block 17 that is titled "SIGNED." 3. ENTER the date issued in Block 16. 4. INITIAL Block 23. 5. CONTINUE to 6. Remit Collected Fees.

¹ A CAUTION ON ACCEPTING CASH—Don't accept cash unless it is absolutely necessary. If it is necessary to accept cash, tell the exporter that you will accept cash once only. Tell the exporter that the next time you must have a check or money order made out to APHIS. If the exporter asks for a receipt, issue one using SF 1165 (a generic receipt form). Checks drawn on a foreign bank must be payable in U.S. funds.

6. Remit Collected Fees—If a check or money order was collected, remit it to a lock box using an APHIS Form 94 (Record of Public Funds Received). You may enter more than one transaction regarding collections for PC's on an APHIS Form 94. Following are specific guidelines for remitting collections for PC's that go beyond the Agency guidelines for completing and submitting APHIS Form 94's (Chapter 10 of the APHIS Budget and Accounting Manual). You can download APHIS Form 94 from the following URL:

<http://www.aphis.usda.gov/library/forms/>

If cash was collected, convert it into a money order or cashier's check. Do not convert cash to your own personal check or another employee's personal check. Do **not** send cash. Checks drawn on a foreign bank must be payable in U.S. funds.

For each transaction, enter the 10 digit accounting code and 4 digit revenue source code (0250) in block 9 of APHIS Form 94, titled "Purpose/Accounting Code" (or just "Purpose" on older forms). Also, enter the purchase date of the certificate in Block 5 of APHIS Form 94.

Record the 10 digit accounting code in the lower left corner on the front of each check or money order. Do not write on the back of the check or endorse it with a stamp.

Paper clip the checks and/or money orders to the original and one copy of the APHIS Form 94. Do not staple them to the forms.

If practical, send the collected fees within 24 hours. But, never send the collected fees later than the second workday from the date you received the fees. Use the date of the first transaction on the APHIS Form 94 as a guide.

Send the checks (collected fees), original, and one copy of the completed APHIS Form 94 to:

USDA, APHIS
P.O. Box 952180
St. Louis, MO 63195-2180

Be sure to provide your complete mailing address in block 4 of the APHIS Form 94. After the Minneapolis Financial Services Branch (MFSB) receives the APHIS Form 94 from the lock box in St. Louis, they will return the receipted copy of the APHIS Form 94 to the originating office address in block 4. Please notify MFBS, Accounts Receivable Team, if you do not receive the receipted copy of the APHIS Form 94 within 3 weeks of your submission.

Accept and Record Prepayment

Exporters may prepay for blocks of certificates in lieu of paying at the time of certification. Prepayment must be in U.S. funds. Following are directions for accepting prepayment for blocks of certificates and recording their purchase on an Export Certificate Record (ECR), APHIS Form 80-R.

1. Advise the exporter that the fee is \$50 for each certificate.



Export certificates can be prepaid only at the \$50 rate. There is currently no provisions for allowing a company to purchase prepaid certificates at the \$23 rate, even if they exclusively use certificates of this value.

2. Tell the exporter that there is a limit on the number of certificates that can be prepaid—it is a 3 months' supply. The reason for the limit is to prevent difficulties if fees are increased or decreased.
3. Ask how many certificates the exporter wants to prepay.
4. Total the prepayment by multiplying the number of certificates asked for by \$50.
5. Enter the name and address of the person, office, or firm to whom the certificates are assigned in Block 1 of the ECR. If the exporter is using an agent, then enter the responsible person's name in Block 11 and their phone number in Block 12.
6. Enter the date that prepayment is being made in Block 2.
7. Enter the number of certificates being prepaid in Block 4. Multiply this number by \$50, and record the total cost in Block 6.¹
8. If the firm or individual is due any credit from previous transactions, enter this amount in Block 7.²



To facilitate record keeping, give credit only when every certificate has been recorded and accounted for on an ECR.

9. If they choose a credit, subtract the amount in Block 7 (if any) from the total in Block 6. Ask for this amount and tell the exporter that is what he or she owes.³
10. Enter the amount due in Block 10 and get a check or money order made out to APHIS.



If a check bounces, and the exporter fails to settle, refuse any additional service until the outstanding balance is paid.

1 These items are performed automatically by computer systems at some ports.
2 These items are performed automatically by computer systems at some ports.
3 These items are performed automatically by computer systems at some ports.

11. If payment is by check, enter the last 5 digits of the check number and the last 5 digits of the bank account number in Block 3. If payment is by money order, enter the last 10 digits of the money order in Block 3.
12. Get the certificates and enter their serial range in Block 13.⁴
13. Hand over the certificates and sign Block 14. Unless asked, do not give the exporter a copy of the ECR. If you do provide a copy, be sure to mark it "COPY."⁵
14. Notify the exporter that an administrative charge of \$7 will be assessed for all returned, unused certificates.
15. If a check or money order was collected, remit it to a lock box using an APHIS Form 94 (Record of Public Funds Received). You may enter more than one transaction regarding collections for PC's on an APHIS Form 94. Following are specific guidelines for remitting collections for PC's that go beyond the Agency guidelines for completing and submitting APHIS Form 94's (Chapter 10 of the APHIS Budget and Accounting Manual).

If cash was collected, convert it into a money order or cashier's check. Do not convert cash to your own personal check or another employee's personal check. Do **not** send cash. Checks drawn on a foreign bank must be payable in U.S. funds.

For each transaction (collected fee for a certificate), establish an 8 digit code which is divided by a slash. The first 4 digits of the code are the fourth through the seventh digits of the accounting code you use to charge the cost for PC's. Follow the first 4 digits with a slash. The second 4 digits are your submitting office code.

For example:

1. Your accounting code is: 37585-03141
2. Your submitting office code is: 9884
3. The correct code you enter in Column 9 on an APHIS Form 94 is: 8503/9884

FIGURE A-1-2: Example of transaction codes

For each transaction, enter the 8 digit code in Column 9 of APHIS Form 94 titled "Purpose/Accounting Code" (or just "Purpose" on older forms). Also, enter the purchase date of the certificate in Column 5 of APHIS Form 94.

⁴ These items are performed automatically by computer systems at some ports.
⁵ These items are performed automatically by computer systems at some ports.

Record the 8 digit code in the lower left corner on the front of each check or money order. Do not write on the back of the check or endorse it with a stamp.

Paper clip the checks and/or money orders to the APHIS Form 94. Do not staple them to the form.

If practical, send the collected fees within 24 hours. But, never send the collected fees later than the second workday from the date you received the fees. Use the date of the first transaction on the APHIS Form 94 as a guide.

Send the checks and completed APHIS Form 94 to:

USDA, APHIS, USER FEES
P.O. Box 952180
St. Louis, MO 63195-5683

After FSO in St. Louis receives and processes the APHIS Form 94 and collected fees, they will return the receipt copy of APHIS Form 94 to the originating office.

Reissue and Replace Certificates

Actions to Take When Errors Are Made by PPQ:

Never charge for a certificate that is reissued because of an error made by PPQ. When errors are made by PPQ, use the following table to determine the actions to take.

TABLE A-1-7: Actions for Errors Made by PPQ

If the error was made on a:	And the exporter elects to replace it with:	Then:
Prepaid certificate	Another that has been prepaid	<ol style="list-style-type: none"> On the ECR that lists the erroneous certificate: <ul style="list-style-type: none"> ◆ SCRATCH through the entire line. ◆ ENTER “Voided due to PPQ error” in the margin. ◆ FILE the voided certificate at the issuing office. On the ECR that lists a new certificate: <ul style="list-style-type: none"> ◆ ENTER the date in Block 16 and INITIAL Block 23. ◆ WRITE “PPQ issuing error” across Blocks 17 through 21. ◆ ENTER \$50 in Block 22 to show the credit due.
	One from the office's stock	<ol style="list-style-type: none"> On the ECR that lists the erroneous certificate: <ul style="list-style-type: none"> ◆ SCRATCH through the number of the erroneous certificate in Block 15. ◆ ENTER in Block 15 the number of the replacement certificate. ◆ FILE the voided certificate at the issuing office. On the ECR that lists a new certificate: <ul style="list-style-type: none"> ◆ ENTER the date in Block 16 and INITIAL Block 23. ◆ WRITE “N/C” in Block 17. ◆ WRITE “PPQ issuing error, replace certificate #____,” and show the company's name to which the certificate is being reissued across Blocks 18-23.
Certificate from the office's stock	→	

Actions to Take When Errors Are Made or When Changes Are Requested by the Exporter:

Use the following directions for charging for reissued certificates and replaced certificates.

Directions for Charging for Reissued Certificates. Decide how much to charge and either get a check or money order to record the transaction on the exporter's ECR (see [Table A-1-8](#)).

TABLE A-1-8: Directions for Charging for Reissued Certificates

If the exporter:	Then:
For the replacement, elects to use a certificate that the exporter has prepaid	<ol style="list-style-type: none"> 1. GET your copy of the exporter's ECR that lists the serial number of the certificate that was prepaid. 2. ENTER the date in Block 16 adjacent to the replacement's serial number. CHECK Block 18 after the replacement (give this credit for one replacement only). INITIAL Blocks 17 and 23. ENTER credit due in Block 22. 3. If, based on the original export certificate, the exporter wants more than one replacement, CHARGE the appropriate amount (\$50, \$23, or N/C) for each replacement beyond the first. See Directions for Charging for Replaced Certificates. 4. VOID and FILE the original certificate.
Elects to pay you directly for the replacement	<ol style="list-style-type: none"> 1. GET your office copy of the ECR. 2. ENTER the date in Block 16 adjacent to the serial number of the certificate you will use. INITIAL Block 23. 3. ASK for \$7 and enter this amount in Block 17. 4. If, based on the original export certificate, the exporter wants more than one replacement, CHARGE the appropriate amount (\$50, \$23, or N/C) for each replacement beyond the first. See Directions for Charging for Replaced Certificates. 5. GET a check or money order made payable to APHIS for the full amount. 6. VOID and FILE the original certificate.

Directions for Charging for Replaced Certificates

1. If the importer asks for a single replacement, then the charge is \$7. But, beyond the first replacement, charge the full amount—not just \$7. (For example, when splitting the shipment to more than one shipment.)

Following are examples of how you would charge for splitting up certificates. In these examples, the exporter asks the certifying official to issue three certificates to replace a previously issued one.

TABLE A-1-9: Charging for splitting up certificates

Commercial Rate	Cost
First Replacement	\$007.00
Second Replacement	050.00
Third Replacement	050.00
Total Cost	\$107.00
Noncommercial Rate	Cost
First Replacement	\$007.00
Second Replacement	023.00
Third Replacement	023.00
Total Cost	\$053.00



Important

There is always a \$7 charge for replacing a certificate in a one-to-one basis, regardless of the number of times the certificate is replaced; however, the shipment cannot be split.

2. If a check or money order was collected, remit it to FSO via a lock box using an APHIS Form 94 (Record of Public Funds Received). You may enter more than one transaction regarding collections for PC's on an APHIS Form 94 as long as the organization code and submitting office code are the same for each transaction. Following are specific guidelines for remitting collections for PC's that go beyond the Agency guidelines for completing and submitting APHIS Form 94's (Chapter 10 of the APHIS Budget and Accounting Manual).

If cash was collected, convert it into a money order or cashier's check. Do **not** send cash. Checks drawn on a foreign bank must be payable in U.S. funds.

For each transaction (collected fee for a certificate), establish an 8 digit code which is divided by a slash. The first 4 digits of the code are the fourth through the seventh digits of the accounting code you use to charge the cost for PC's. Follow the first 4 digits with a slash. The second 4 digits are your submitting office code.

For example:

- ◆ Your accounting code is: 37585-03141
- ◆ Your submitting office code is: 9884
- ◆ The correct code you enter in Column 9 on an APHIS Form 94 is: 8503/9884

FIGURE A-1-3: Example of transaction codes

For each transaction, enter the 8 digit code in Column 9 of APHIS Form 94 titled "Purpose/Accounting Code" (or just "Purpose" on older forms). Also, enter the purchase date of the certificate in Column 5 of APHIS Form 94.

Record the 8 digit code in the lower left corner on the front of each check or money order. Do not write on the back of the check or endorse it with a stamp.

Paper clip the checks and/or money orders to the APHIS Form 94. Do not staple them to the form.

If practical, send the collected fees within 24 hours. But, never send the collected fees later than the second workday from the date you received the fees. Use the date of the first transaction on the APHIS Form 94 as a guide.

Send the checks and completed APHIS Form 94 to:

USDA, APHIS, USER FEES
P.O. Box 952180
St. Louis, MO 63195-2180

After FSO in St. Louis receives and processes the APHIS Form 94 and collected fees, they will return the receipt copy of APHIS Form 94 to the originating office.

Maintain Accountability

Order export certificates from Central Supply. Upon receiving the certificates, using the accompanying Form 107 (this is Central Supply's computer generated form)—verify the range in serial numbers and the quantity of certificates sent. If you find any discrepancy, note it on Form 107, date and sign. If there were no discrepancies, date and sign the accompanying Form 107. Always make a copy of the completed form and file it. Return the completed Form 107 to Central Supply.

All prepaid certificates must be accounted for. Use the ECR to account for each certificate issued and each transaction made. Each certificate must be accounted for by having the authorized officer initial Block 23 of the ECR. Maintain this record meticulously since Authorized Certification Officials (ACO's) are responsible for the fees collected and transactions documented. Each certificate bears a serial number that is at its top, right corner. Block 15 of the ECR provides blanks for recording each certificate's serial number. There are three instances when Authorized Certification Officials (ACO's) need to use the ECR:

- ◆ To keep records of prepayment;
- ◆ To record blocks of certificates issued by controlling offices to their work units;
- ◆ To record certificates issued to walk-ins

Account for Prepaid Certificates:

1. Enter or stamp the “issuing office” in the Block of each certificate titled **FOR OFFICIAL USE ONLY** adjacent to “PLACE.” Since a certificate only may be signed by the issuing office, and because the documents have a cash value, this step is crucial.



Only the office accepting prepayment for a certificate may sign that certificate. For example, if a certificate was prepaid in Miami, you could not sign that certificate if it were presented for your signature in Tampa.

2. Once certificates have been prepaid, give the exporters directions on how to complete the form. For example, some locations allow exporters to complete only the section titled **DESCRIPTION OF CONSIGNMENT**. Also, warn that the certificate may be signed only by the office where it was prepaid.
3. For all certificates signed by PPQ officers, record the following kinds of information on the ECR:
 - ❖ Date signed (Block 16)
 - ❖ Credit given for reissued or unused certificates (Blocks 18, 19, 20)
 - ❖ Credit given for noncommercial or low value shipments (Blocks 21 and 22)
 - ❖ Initialing off on Block 23 as signed or voided
 - ❖ Checking Block 17 after the certificate is signed
4. If not the lead office for controlling certificates, transmit records of actions taken or copies of the ECR as required by your lead office.
5. At the end of each quarter (based on the fiscal year) review the ECR for unused certificates. Consult the companies to determine the status of the unused certificates. If the certificates aren't going to be used in the near future, recover them. Be sure to reimburse the company for those unused certificates you recover, and retain \$7 from each certificate as an administrative fee. If there are long-standing unused certificates on the record, don't let the company prepay any additional certificates.

Account for Certificates Issued to Other PPQ Offices:

1. If a controlling official (contact point officer (CPO), Port Director (PD), State plant health director (SPHD), or other designated PPQ official) needs to issue a block of certificates to another office or location under his or her supervision, then that controlling official must record each transaction on an ECR or APHIS Form 47. Certificates may be issued to each office, as appropriate, but the certificates must be issued to an accountable individual.

If an ECR is used to document the transfer of the certificates, enter in Block 1 the office to which the certificates are being issued. In Block 13, record the range of serial numbers for the certificates issued. Enter the name of the accountable individual and his or her phone number in Blocks 11 and 12. Enter the name of the controlling official in Block 14.

2. Individuals to whom certificates are issued must keep their own ECR's, recording all transactions pertaining to those certificates. Follow the general guidelines that preceded for recording transactions on the ECR.



In instances where the controlling official issues certificates to other offices, two sets of records are kept—one set by the office issuing the certificates (either a copy of the ECR or an APHIS Form 47) and the other by the office where the certificates will be written (always an ECR). The office issuing the certificates must fill in the top portion of the ECR being sent to their work unit, Blocks 11 through 14.

Account for Certificates Issued to State or County Offices:

If the controlling official (CPO, PD, SPHD, or other designated PPQ official) needs to issue a block of certificates to a State or county office, then the following actions must be taken:

1. Get a copy of APHIS Form 47 (see [Figure A-1-7 on page-A-1-26](#) for a sample of this form). Enter the name and address of the designated State or county official in Block 2. Enter the name and address of the controlling official in Block 3. Identify the persons to whom issued and their phone number in Block 6, **REMARKS**.
2. Enter the form number (PPQ Form 577, 578, or 579) of the certificate being issued in Column A of the last block of Section 4. Enter the title of the form in Column B and the quantity issued in Column C. Record the range of serial numbers being issued in Column E. Complete Sections 7 through 9 as indicated. Make sure this form accompanies the certificates being transferred.

Handle Refunds and Credits



Only give refunds and credits for export certificates (PPQ Forms 577, 578, and 579) that were previously issued from your own office. Never give a refund or a credit on the basis of State certificates or certificates issued by other agencies (e.g., Federal Grain Inspection Certificates)—even though exporters were charged for those documents.

If an exporter has a voided or unused certificate, either give credit using the ECR or arrange for reimbursement from MFSB. The voided original must be filed at the accountability point (issuing office). Unused certificates can be reissued. Use the following directions if the exporter wants reimbursement.

1. Accept the voided or unused certificates that are being returned.
2. Make sure that you have the exporter's name, address, social security number (or tax identification number), and phone number.
3. Notify the exporter that there will be a \$7 administrative charge for each returned, unused certificate.
4. Give the exporter a receipt for the returned certificates. Use a Standard Form 1165. Only reimburse \$43 per certificate.
5. Send a message (memo, facsimile, speed memo) to MFSB requesting the refund.

Include the information specified in 2. above, and give MFSB a PPQ contact in case there are questions. Send the message to the following office:

USDA, APHIS, MRPBS, FMD
P.O. Box 3334
Minneapolis, MN 55403
FAX: (612) 370-2293
Tel: (612) 370-2291

Manage Records

Since the user fee program for export certification is a PPQ program where money is collected and handled directly, Authorized Certification Officials (ACO's) must maintain an audit trail. Therefore, to prevent future difficulty, here are procedures that each issuing office is to apply to maintain a sufficient audit trail.

Annual Maintenance:

1. Collect both the ECR and each copy of the APHIS Form 94 that was used to send in money for the certificates listed on the ECR.
2. Highlight, on the APHIS Form 94, the amounts that pertain to the certificates listed on the ECR.
3. Attach the associated export certificates and APHIS Form 94 to its ECR.
4. File the assembled records for the current fiscal year (FY). After you close out a fiscal year, you must store the records. Records must be stored on site for 2 fiscal years.
5. At the end of the third year (1 year in current files, 2 years in storage on site), take the records for the fiscal year that were stored the longest and send them to a Federal Archives and Records Center (FRC) for storage and final disposition. Follow the directions in the APHIS Records Management Handbook for:
 - ❖ Retiring records to FRC
 - ❖ Shipping records to FRC
 - ❖ Completing an SF-135 (Records Transmittal and Receipt)
 - ❖ Locating the appropriate FRC

For example—At the end of FY 1994, you should have both the records for FY 1992 and 1993 in storage on site. All records for FY 1992 should be sent in to an FRC for further storage and final disposition.

Monthly Reports:

There are two major purposes for the monthly reporting of export certificates issued:

1. The APHIS User Fee Branch will be able to track the collected fees and reconcile the funds between MFSB and the work units within the regions.
2. PPQ will be able to accurately determine the number of certificates issued, thereby replacing the Work Accomplishment Development System (WADS) for this purpose.

Work Units

The PD or SPHD is the person accountable for preparing a Monthly Summary of Export Certificates Issued, PPQ Form 575. You can download PPQ Form 575 from the following URL:

<http://www.aphis.usda.gov/library/forms/>

1. Complete PPQ Form 575 within 5 working days after the month has ended. Use the instructions on the reverse side of the form along with the following additional guidelines.

- A. Send a negative report if you had no export certification activity during the past month. Indicate in Block 8, Remarks, that it is a negative report.
- B. Enter in Block 1 the name of your work unit and any work station assigned to the work unit.
- C. Enter in Blocks 4(A) through 4(F) the total number of certificates purchased and the total dollar amount collected and sent to FSO for each type of certificate.



There may be a difference between the number of certificates purchased and the dollar amount sent to MFSB because of the credits given to exporters who prepay for a block of certificates. The credits are recorded when the certificates are used and then are applied against a dollar amount owned when an exporter returns to purchase another block of certificates. A difference should appear only in Item 4(A). Record in Block 8 the total credit amount applied; do not separate credits by exporters.



Remember that blocks of certificates can be pre-purchased only at the rate of \$50. However, a certificate may be used at a \$23 rate when you would credit \$27, or used as a reissued certificate or during reimbursable overtime when you would credit \$43 allowing for a \$7 administrative charge.

In January, Exporter XYZ buys (prepays) a block of 10 certificates paying \$500 (10 certificates x \$50 each).

At the end of January, a total of 25 certificates were purchased which included the block of 10 certificates prepaid by Exporter XYZ.

Recorded on PPQ Form 575 for January under Item 4(A) would be 25 for the number purchased, and \$1,250 for the amount sent to FSO (25 certificates x \$50 each).

In April, Exporter XYZ returns to buy another block of 10 certificates for \$500. After checking the ECR (APHIS 80-R), you notice that 2 certificates from the January block qualified for the \$23 rate when a credit of \$27 each was given, and 1 certificate was issued under reimbursable overtime when a credit of \$43 was given. Currently, Exporter XYZ has a credit balance of \$97 (\$27 + \$27 + \$43). Therefore, you charge Exporter XYZ \$403 for the block of 10 certificates (\$500 - \$97).

At the end of April, a total of 30 certificates was purchased which included the second block of 10 certificates prepaid by Exporter XYZ.

Recorded on PPQ Form 575 for April under Item 4(A) would be 30 for the number purchased, and \$1,403 for the amount sent to FSO (30 certificates x \$50 each - \$97 credit). Record in Block 8 an explanation why there is a difference between the number purchased and the dollar amount sent to FSO in Block 4(A).

FIGURE A-1-4: Example of fees for pre purchased certificates

- D. Use Block 4(B) to record the number of certificates and related dollar amount sent to MFSB for certificates issued to other USDA or Government agencies. Record in Block 8 the Government agencies to which certificates were issued, and the number of certificates issued to each agency listed. Certificates issued to other agencies are charged at the \$23

rate and need to be accounted for on PPQ Form 575. PPQ, Agreement Services Center, will work with agencies outside of the Federal Government to develop an interagency agreement to pay for the certificates issued to them.

- E.** Enter in Blocks 4(G) through 4(J) only the number of certificates issued for each type of certificate. No fee is collected for these types of certificates.
- F.** Use Block 8 to record certificates which were pre-purchased at the \$50 rate, but qualified for the \$23 rate when issued. Record the number of certificates originally sold for \$50 and the number that qualified for \$23.

- 2.** Forward the completed, original PPQ Form 575 to your Regional Office.

Regional Office

The regional office is responsible for collecting all original PPQ Forms 575 from their work units and preparing a cover memorandum.

- 1.** Monitor receiving an original PPQ Form 575 from each work unit within the Region before the 20th of each month.
- 2.** Prepare a cover memorandum to forward the PPQ Forms 575 to the User Fee Branch in Riverdale. The memorandum should make the following statement: "This is to transmit all monthly summaries of export certificates issued for the month of."
- 3.** Forward all of the original PPQ Forms 575 received from the work units along with the cover memorandum to the following address by the 20th of each month:

USDA, APHIS, User Fee Branch
4700 River Road
Riverdale, MD 20737
ATTN: Donna Ford

User Fee Branch

The User Fee Branch will summarize the information recorded on the PPQ Forms 575 provided by the Regions and will provide ES with an annual summary of export certification activities.



Effective October 1992, work units should not be reporting the number of export certificates issued on the WADS system. The annual summary prepared by the User Fee Branch will replace the WADS system for tracking export certificates.

Samples

On the following pages are samples of the forms related to collecting user fees. These forms can be downloaded as PDF files from the following URL:

<http://www.aphis.usda.gov/library/forms/>

Export Certificate Record, APHIS Form 80-R (ECR)

- ◆ Record of Public Funds Received, APHIS Form 94
- ◆ Transmittal and Receipt for Accountable Items, APHIS Form 47
- ◆ Monthly Summary of Export Certificates Issued, PPQ Form 575

[illegible]

FIGURE A-1-5: Sample of an Export Certificate Record (APHIS Form 80-R)

APHIS Form 80-R (Export Certificate Record) is available online as a PDF file at the following URL:

<http://www.aphis.usda.gov/library/forms/pdf/aphis80r.pdf>

TRANSMITTAL AND RECEIPT FOR ACCOUNTABLE ITEMS				USDA-APHIS 1. DATE PREPARED	
ISSUING OFFICE: Complete applicable items 1 through 9. Original and one copy to accompany the items to the receiving office. Retain one copy. RECEIVING OFFICE: Complete items 11 through 15 and return original to issuing office in item 3.					
2. TO:			3. FROM:		
4. ACCOUNTABLE FORMS ENCLOSED					
A. FORM NO.	B. TITLE	C. QUANTITY	D. UNIT OF ISSUE	E. SERIAL NOS. (Inclusive)	
				FROM	THROUGH
SF-1103	U.S. Government Bill of Lading				
AD-107	Report of Transfer or Other Disposition of Construction of Property - For Sales				
APHIS-89	Report of Reimbursable Inspection and Quarantine Service				
	Identification Card				
5. CREDIT CARDS - LICENSE PLATES ENCLOSED					
A. TYPE	B. NAME OF ISSUING COMPANY	C. NO. ENCLOSED	D. CREDIT CARD OR LICENSE PLATE NOS.		
			FROM	THROUGH	
Telephone Toll Credit Card					
Auto Rental Credit Card					
GSA National Credit Card (Service station use) (Return expired credit cards being replaced)					
License Plates					
APHIS Decals					
6. ACCOUNTABLE ITEMS					
A. DESCRIPTION	B. QUANTITY	C. SERIAL NOS. (Inclusive)			
		FROM	THROUGH		
7. REMARKS					
8. SIGNATURE OF ISSUING OFFICIAL		9. TITLE		10. DATE	
ACKNOWLEDGMENT OF RECEIPT <i>I acknowledge receipt of the above items except as noted in item 11 below.</i>					
11. EXCEPTIONS					
12. "X" IF EXPIRED CREDIT CARDS ARE ATTACHED	13. SIGNATURE OF ACCOUNTABLE OFFICER		14. TITLE		15. DATE RECEIVED
<input type="checkbox"/>					
APHIS FORM 47 (APR 2001) Previous editions may be used.					

FIGURE A-1-7: Sample of Transmittal and Receipt for Accountable Items (APHIS Form 47)

APHIS Form 47 (Transmittal and Receipt for Accountable Items) is available online as a PDF file at the following URL:

<http://www.aphis.usda.gov/library/forms/pdf/aphis47.pdf>

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE			
MONTHLY SUMMARY OF EXPORT CERTIFICATES ISSUED			
1. WORK UNIT NAME AND STATION NAME		2. REGION	
		3. MONTH AND YEAR	
4. TYPE OF CERTIFICATE		NUMBER	
		PURCHASED ISSUED	
A. Commercial Phytosanitary Certificates invoiced valued at or greater than \$1,250 (PPQ Form 577)			\$
B. All Non-commercial & Commercial Phytosanitary Certificates invoiced valued less than \$1,250 (PPQ Form 577)			\$
C. Export Certificate, Processed Plant Products (PPQ Form 578)			\$
D. Commercial Phytosanitary Certificates for Re-export (PPQ Form 579)			\$
E. Commercial Phytosanitary Certificates for Re-export invoiced valued at less than \$1,250 (PPQ Form 579)			\$
F. Re-issued Certificates (Non-prepaid)			\$
G. Re-issued Certificates (Prepaid)			
H. Number of Voided or Unused Certificates			
I. Number of Certificates Issued under Non Contiguous Reimbursable Overtime			
J. Number of State and County Issued Certificates			
PPQ Form 577			
PPQ Form 578			
PPQ Form 579			
CERTIFICATION			
I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected were forwarded to MRP Business Services, ASD, Minneapolis.			
5. SIGNATURE		6. PRINT NAME AND TITLE (PD or Designee)	
7. DATE			
8. REMARKS			
NEGATIVE REPORT			
I certify that the foregoing Export Certificates were purchased or issued during the month of _____ and all monies collected from previous certificates have been forwarded to MRP Business Services, ASD, Minneapolis.			
9. SIGNATURE		10. PRINT NAME AND TITLE (PD or Designee)	
11. DATE			
PPQ FORM 575 JAN 2002		<input type="checkbox"/> PART 1-APHIS USER FEES BRANCH <input type="checkbox"/> PART 2-WORK UNIT <input type="checkbox"/> PART 3-REGIONAL OFFICE	

FIGURE A-1-8: Sample of Monthly Summary of Export Certificates Issued (Front) (PPQ Form 575)

APHIS Form 575 (Monthly Summary of Export Certificates Issued) is available online as a PDF file at the following URL:

<http://www.aphis.usda.gov/library/forms/pdf/ppq575.pdf>

INSTRUCTIONS FOR COMPLETING PPQ FORM 575	
1.	Enter the work unit and work station name, for example, San Francisco, CA/Oakland, CA.
4A.	Enter the number of certificates (PPQ 577) purchased at the commercial rate and the dollar amount collected and forwarded. This includes certificates individually purchased, blocks of certificates and those issued on contiguous reimbursable overtime.
4B.	Enter the number of certificates (PPQ 577) purchased at the low value or non commercial rate and the dollar amount collected and forwarded. This includes certificates purchased individually and those issued on contiguous reimbursable overtime. NOTE: No blocks of certificates may be pre-purchased at this rate.
4C.	Enter the number of certificates (PPQ 578) purchased (always commercial rate) and the dollar amount collected and forwarded. This includes certificates individually purchased, blocks of certificates and those issued on contiguous reimbursable overtime.
4D.	Enter the number of certificates (PPQ 579) purchased at the commercial rate and the dollar amount collected and forwarded. This includes certificates individually purchased, blocks of certificates and those issued on contiguous reimbursable overtime.
4E.	Enter the number of certificates (PPQ 579) purchased at the commercial low value rate and the dollar amount collected and forwarded. This includes certificates purchased individually and those issued on contiguous reimbursable overtime. NOTE: No blocks of certificates may be pre-purchased at this rate.
4F.	Enter the number of certificates (PPQ 577, 578, 579) re-issued (federal supersedures) and the dollar amount collected and forwarded.
4G.	Enter the number only of certificates (PPQ 577, 578, 579) re-issued (federal supersedures) receiving credit.
4H.	Enter the number only of voided or unused certificates (PPQ 577, 578, 579) returned.
4I.	Enter the number only of certificates (PPQ 577, 578, 579) issued on non contiguous reimbursable overtime.
4J.	Enter the number of certificates (PPQ 577, 578, 579) issued (signed) by cooperators.
8.	Use the remarks section when certificates are purchased at the \$50.00 rate but upon signature qualify for the \$23.00 rate. State the number of certificates originally sold at the \$50.00 rate and the number that qualified at the \$23.00 rate. Do not enter these figures in any other area.
NOTE: The shaded areas on PPQ Form 575 are not to be completed.	

FIGURE A-1-9: Sample of Monthly Summary of Export Certificates Issued (Back) (PPQ Form 575)

APHIS Form 575 (Monthly Summary of Export Certificates Issued) is available online as a PDF file at the following URL:

<http://www.aphis.usda.gov/library/forms/pdf/ppq575.pdf>

TABLE 3-1-9: QUICK REFERENCE GUIDE FOR APPLYING USER FEES--REISSUED CERTIFICATES
(See reverse side for initial issue certificates)

Table reverse side for initial review on mandatory						
If your time status is:	And the error is the responsibility of:	And the requested certificate is:	And the status of the shipment is:	Then the user fee charge is:	Actions for each nonprepaid certificate:	Actions for each prepaid certificate:
Regular tour of duty (TOD) or contiguous duty (COD) on overtime (ROT)	PPQ			No charge	1. On the APHS 80-R which lists the erroneous certificate: a. SCRATCH through the number of the erroneous certificate in Block 15. b. ENTER in Block 15 the number of the replacement certificate. c. FILE the voided certificate at the issuing office. 2. On the APHS 80-R which lists a new certificate: COMPLETE Blocks 15, 16, 17 (enter "NIC"), 18-22 (enter "PPQ issuing error, replace certificate # _____" and show company's name), 23 3. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	FROM THE EXPORTER'S STOCK: 1. On the APHS 80-R which lists the erroneous certificate: a. SCRATCH through the entire line. b. ENTER "Voided due to PPO error" in the margin. c. FILE the voided certificate at the issuing office. 2. On the APHS 80-R which lists a new certificate: COMPLETE Blocks 16, 17-21 (enter "PPQ issuing error"), 22 (enter \$50), 23 FROM YOUR STOCK: 1. FOLLOW the actions listed for nonprepaid certificates 2. COMPLETE Blocks 16, 17, 18, 22 (enter \$43 and then no credit, if appropriate), 23 of APHS 80-R 3. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
	The exporter or their representative	PPQ 577	Commercial valued more than \$1,250	<ul style="list-style-type: none">• \$7 for the first reissued certificate;• \$50 for multiple certificates*	1. COMPLETE Blocks 15, 16, 17 (enter \$7/\$50), 23 of APHS 80-R 3. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18, 22 (enter \$43 and then no credit, if appropriate), 23 of APHS 80-R 2. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
			Commercial valued at or less than \$1,250	<ul style="list-style-type: none">• \$7 for the first reissued certificate;• \$23 for multiple certificates*	1. COMPLETE Blocks 15, 16, 17 (enter \$7/\$23), 23 of APHS 80-R 3. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18, 22 (enter \$43 and then no credit, if appropriate), 23 of APHS 80-R 2. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
			PPQ 578	Commercial valued more than \$1,250	<ul style="list-style-type: none">• \$7 for the first reissued certificate;• \$50 for multiple certificates*	1. COMPLETE Blocks 15, 16, 17 (enter \$7/\$50), 23 of APHS 80-R 3. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		PPQ 579	Commercial valued at or less than \$1,250	<ul style="list-style-type: none">• \$7 for the first reissued certificate;• \$23 for multiple certificates*	1. COMPLETE Blocks 15, 16, 17 (enter \$7/\$23), 23 of APHS 80-R 3. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18, 22 (enter \$43 and then enter \$27, if appropriate), 23 of APHS 80-R 2. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
			Noncommercial	No charge	1. COMPLETE Blocks 15, 16, 17 (enter "NIC"), 23 of APHS 80-R 2. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18-21 (enter "NIC, Noncommercial Reexport"), 22 (enter \$43), 23 of APHS 80-R 2. DOCUMENT additional charge on APHS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
Noncontiguous ROT	PPQ			No charge because you're conducting the work on ROT	1. COMPLETE Blocks 15, 16, 22 (enter "PPQ issuing error"), 23 of APHS 80-R 2. CHARGE ROT on APHS 89, recording certificate's serial number in Block 12	1. COMPLETE Blocks 16, 22 (enter \$50), 23 of APHS 80-R 2. CHARGE ROT on APHS 89, recording certificate's serial number in Block 12
	The exporter or their representative	PPQ 577		No charge because you're conducting the work on ROT	1. COMPLETE Blocks 15, 16, 17, 18-22 (enter "Issued on ROT"), 23 of APHS 80-R 2. CHARGE ROT on APHS 89, recording certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 20, 22 (enter \$43), 23 of APHS 80-R 2. CHARGE ROT on APHS 89, recording certificate's serial number in Block 12
		PPQ 578				
		PPQ 579	Commercial			
			Noncommercial			

*When multiple certificates are requested to replace one certificate, see page 3.1.4 of the Export Certification Manual for a detailed explanation. Payment by check or money order is made payable to APHIS. Rates are effective March 1, 1996.

TABLE A-1-10: Quick Reference for Applying User Fees - Reissued Certificates

TABLE 3-1-10: QUICK REFERENCE GUIDE FOR APPLYING USER FEES--INITIAL ISSUE CERTIFICATES

(See reverse side for reissued certificates)

Certifying officials may use this Quick Reference Guide to quickly determine the user fee charge when responding to questions. More detailed guidelines on how to document and process each transaction is detailed in Appendix 1 of the Export Certification Manual.

If your time status is:	And the requested certificate is:	And the status of the shipment is:	Then the user fee charge is:	Actions for each nonprepaid certificate:	Actions for each prepaid certificate:
Regular tour of duty (TOD) or contiguous reimbursable overtime (ROT)	PPQ 577	Commercial valued more than \$1,250	\$50	1. COLLECT \$50 2. COMPLETE Blocks 15, 16, 17 (enter \$50), 23 of APHIS 80-R (Export Certificate Record) 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		Commercial valued at or less than \$1,250	\$23	1. COLLECT \$23 2. COMPLETE Blocks 15, 16, 17 (enter \$23), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 21, 22 (enter \$27), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		Noncommercial			
Noncontiguous ROT	PPQ 578	Commercial valued more than \$1,250	\$50	1. COLLECT \$50 2. COMPLETE Blocks 15, 16, 17 (enter \$50), 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		Commercial valued at or less than \$1,250	\$23	1. COLLECT \$23 2. COMPLETE Blocks 15, 16, 17, 23 of APHIS 80-R 3. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 21, 22 (enter \$27), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
	PPQ 579	Commercial valued at or less than \$1,250	No charge	1. COMPLETE Blocks 15, 16, 17 (enter "N/C"), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 18-21 (enter "N/C, Non-commercial Reexport"), 22 (enter \$43), 23 of APHIS 80-R 2. DOCUMENT additional charge on APHIS 89 for certificates issued on contiguous ROT, recording each certificate's serial number in Block 12
		Noncommercial			
	PPQ 577	Commercial	No charge because you're conducting the work on ROT	1. COMPLETE Blocks 15, 16, 17, 18-22 (enter "Issued on ROT"), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12	1. COMPLETE Blocks 16, 17, 20, 22 (enter \$43), 23 of APHIS 80-R 2. CHARGE ROT on APHIS 89, recording certificate's serial number in Block 12
		Noncommercial			

Payment by check or money order is made payable to APHIS.
Rates are effective March 1, 1996.

TABLE A-1-11: Quick Reference for Applying User Fees - Initial Certificates



Appendix B

A List of Contact Point Officers

Contents

Introduction [page-B-1-1](#)
Responsibilities [page-B-1-1](#)
List of Contact Points [page-B-1-1](#)

Introduction

The contact point system plays a vital role in maintaining the quality and credibility of the export certification program. The system was established to provide guidance to Plant Protection and Quarantine (PPQ) work unit personnel, and State plant regulatory personnel who have joined PPQ in the Cooperative Export Certification Program.

Responsibilities

There are designated contact points in each of the national regions. At each contact point a key person, the contact point officer (CPO), is responsible for ensuring the continuity and quality control of the export certification program. Responsibilities for the CPO are detailed in the Introduction of this manual under the section, Users and Responsibilities (See [page-1-3-4](#)).

List of Contact Points

The CPO List can be accessed via the internet on the EXCERPT home page or through the following URL:

http://www.aphis.usda.gov/ppq/pim/exports/CPO's_exp.htm

The CPO List can also be accessed online via dial-up methods by typing the words “Export Information” on the Country Name line, then selecting General Information; or in the command mode, enter “GENO EXP”.

Appendix B: A List of Contact Point Officers
List of Contact Points



Appendix C

Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572)

Contents

Introduction [page-C-1-1](#)

Introduction

PPQ Form 572 is an application and inspection record used by the certifying official to prepare the Phytosanitary Certificate (PPQ Form 577) and the Phytosanitary Certificate for Reexport (PPQ Form 579) (see [Figure C-1-1 on page-C-1-3](#) for a sample of an application). PPQ Form 572 can be downloaded as a PDF file from the following URL:

<http://www.aphis.usda.gov/library/forms/>

Although this form is required by regulation, in practice, alternative methods are used to obtain the necessary information for inspection and certification.

The application is recommended for those exporters who infrequently ship plants or plant products, or who must send plants or plant products to Plant Protection and Quarantine (PPQ) offices for inspection. Exporters who use PPQ Forms 577 and 579 to apply for inspection and certification may not be required to submit an application.

Authorized Certification Officials (ACO's) are responsible for holding in strict confidence the information in these applications. Details about confidentiality can be found under the definition of the phytosanitary certificate in the Glossary of this manual.

The information provided by the exporter on the application (items 1-11) must be legible, accurate, and complete. The information is used by the certifying official to identify the plants or plant products when inspecting them and to complete and issue the phytosanitary certificate.

The certifying official records the results of the inspection in the section titled, "Export Inspection Data" (items 12-17). Recorded here are the location of the plants or plant products, how much material was examined, percentage of material infested, pest findings, treatment given (when required), date and time of the inspection, and the signature of the certifying official.

Any discrepancies found during the inspection relating to the description of articles to be certified, i.e., the quantity and name, number and description of packages, distinguishing marks, or certified origin, should be recorded on the application.

The application, with recorded inspection results, should be attached to the issuing office copy (blue) of the phytosanitary certificate.

No Phytosanitary Export Certificate can be issued until an application is completed (7 CFR 353).		FORM APPROVED OMB NO. 0579-0052	
U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE APPLICATION FOR INSPECTION AND CERTIFICATION OF DOMESTIC PLANTS AND PLANT PRODUCTS FOR EXPORT		INSTRUCTIONS: APPLICANT - Forward original to Officer In Charge where inspection, treatment and certification will be given (Item 4). Complete items 1 thru 11. OFFICER - Complete items 12 thru 17.	
1. NAME AND ADDRESS OF EXPORTER		3. NAME AND ADDRESS OF APPLICANT (or exporters agent)	
2. NAME AND ADDRESS OF FOREIGN CONSIGNEE		4. PLACE WHERE ARTICLES WILL BE MADE AVAILABLE FOR INSPECTION AND/OR TREATMENT AND CERTIFICATION (Port and location)	
		5. APPROXIMATE DATE OF DEPARTURE	
		6. PORT OF EXPORT	
7. DESCRIPTION OF ARTICLES TO BE CERTIFIED			
a.			
QUANTITY AND NAME OF PRODUCE AND BOTANICAL NAME			
b.			
NUMBER AND DESCRIPTION OF PACKAGES			
c.			
DISTINGUISHING MARKS			
d.			
CERTIFIED ORIGIN			
8. DECLARED MEANS OF CONVEYANCE		I certify that the origin (place where grown) of the articles listed is as represented.	
9. DECLARED POINT OF ENTRY		10. SIGNATURE (applicant or exporters agent)	11. DATE
EXPORT INSPECTION DATA - (To be filled in by Plant Protection and Quarantine Officer)			
12. LOCATION OF ARTICLES		13. % OF MATERIALS EXAMINED	14. % OF MATERIALS INFESTED
15. FINDINGS AND/OR TREATMENT GIVEN (Use reverse if necessary)			
16. SIGNATURE			17. DATE AND TIME INSPECTED

PPQ FORM 572 (FEB 81) Replaces PPQ FORM 572 (AUG 74) which may be used

FIGURE C-1-1: Sample of an Application for Inspection and Certification of Domestic Plants and Plant Products for Export (PPQ Form 572)

D

Export Certification
Manual

Appendix D

Compilation of Contacts for Various Agencies and Official Certificates Issued by Various Agencies and States That May or May Not Be Acceptable in Place of Inspection

Contents

Introduction	page-D-1-1
Acceptable Certificates Issued by Agricultural Marketing Service	page-D-1-3
Acceptable Certificates Issued by FGIS	page-D-1-6
Unacceptable Certificates Issued by FGIS	page-D-1-15
FGIS Contacts	page-D-1-21

Introduction

This appendix includes a list of contacts for various agencies that issue certificates accepted by APHIS in place of inspection. Also, the certificates contained in this appendix are divided into three categories. The categories are as follows:

1. Certificates issued by Agricultural Marketing Service (AMS).
 - A. Acceptable
 - Certificate of Quality and Condition (Processed Foods) (FV Form 146)
 - Certificate of Quality and Condition (Quality Assurance) (FV Form 147)
 - Certificate of Quality and Condition (Continuous Inspection) (FV Form 149)
 - Report on Sanitary Inspection (FV Form 294)
 - B. Unacceptable
 - Federal-State Inspection Certificate (FV-184)

2. Certificates issued by Federal Grain Inspection Service (FGIS).

A. Acceptable:

- Official Grain Inspection Certificate, Official Sample - Lot Inspection (FGIS 905-1)
- Official Export Grain Inspection Certificate (FGIS-909)
- Official Grain Inspection Certificate (FGIS-909-1)
- Official Export Grain Inspection Certificate (FGIS-909-2)
- Bean Inspection Certificate (FGIS-912)
- Pea or Lentil Lot Inspection Certificate (FGIS-953)
- Commodity Inspection Certificate (FGIS-993)
- Inspection Report - Insects in Grain (FGIS-921-2)
- Rice Inspection Services Certificate (FGIS-956)

B. Unacceptable:

- Official Certificate, Warehouseman's Sample - Lot Inspection (IN-415)
- Official Certificate, Submitted Sample Inspection (FGIS-914)
- Official Stowage Examination Certificate (FGIS-915)
- Official Certificate (FGIS-916)
- Commodity Certificate (FGIS-994)

3. Certificates issued by States

A. Acceptable

- Florida Export Citrus Fruit Inspection Certificate
- Oregon State Seed Laboratory Inspection Report
- Washington Phytosanitary Grain Inspection Report

Acceptable Certificates Issued by Agricultural Marketing Service

Certificate of Quality and Condition (Form FV 146):


UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)		Please refer to this certificate by number and inspection office. Z- 000000 DATE _____
<small> This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7 U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin. </small>		
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
SOURCE OF SAMPLES	PRODUCT INSPECTED	
CODE MARKS ON CONTAINERS		
PRINCIPAL LABEL MARKS		
GRADE:		
REMARKS:		
<div style="display: flex; justify-content: space-between; align-items: center;"> <div style="text-align: center;">  </div> <div> <small> Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above. </small> </div> </div>		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR
FORM FV-146CS (8-92)		

FIGURE D-1-1: Sample of Certificate of Quality and Condition (Form FV 146)

Certificate of Quality and Condition (Quality Assurance) (Form FV 147):

UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE		Please refer to this certificate by number and inspection office. <div style="font-size: 24pt; font-weight: bold;">D- 000000</div>
<div style="display: flex; justify-content: space-between;"> <div> CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS) </div> <div> QUALITY ASSURANCE </div> </div>		
This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.		
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED	
PRINCIPAL LABEL MARKS		
<div style="display: flex;"> <div style="width: 20%;"> GRADE: REMARKS: </div> <div style="width: 80%; text-align: center;"> </div> </div>		
Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above.		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR
FORM FV-147CB (9-92) U.S. GPO: 1992-333-648		

FIGURE D-1-2: Sample of Certificate of Quality and Condition (Form FV 147)

Certificate of Quality and Condition (Continuous Inspection) (Form FV 149):

UNITED STATES DEPARTMENT OF AGRICULTURE AGRICULTURAL MARKETING SERVICE		Please refer to this certificate by number and inspection office.
CERTIFICATE OF QUALITY AND CONDITION (PROCESSED FOODS)		K-00000
CONTINUOUS INSPECTION		
<small> This certificate is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. It does not excuse failure to comply with any applicable Federal or State laws. WARNING: Any person who knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such action, is subject to a fine of not more than \$1,000 or imprisonment for not more than one year, or both (7 U.S.C. 1622 (h)). The conduct of all services and the licensing of all personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin. </small>		
APPLICANT	ADDRESS	
RECEIVER OR BUYER	ADDRESS	
CODE MARKS ON CONTAINERS	PRODUCT INSPECTED	
PRINCIPAL LABEL MARKS		
<div style="display: flex; justify-content: space-between;"> <div style="width: 20%;"> GRADE: REMARKS: </div> <div style="width: 60%; text-align: center;"> </div> <div style="width: 20%;"></div> </div>		
<small> Pursuant to the regulations issued by the Secretary of Agriculture under the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621-1627), governing the inspection certification of the product designated herein, I certify that the quality and condition of the product as shown by samples inspected on the above date were as shown, subject to any restrictions specified above. </small>		
ADDRESS OF INSPECTION OFFICE		SIGNATURE OF INSPECTOR
<small> FORM FV-149C (8-92) U.S. GPO: 1994-523-112 </small>		

FIGURE D-1-3: Sample of Certificate of Quality and Condition (Form FV 149)

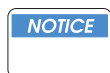
Report on Sanitary Inspection (Form FV 294):

UNITED STATES DEPARTMENT OF AGRICULTURE	
AGRICULTURAL MARKETING SERVICE	
FRUIT AND VEGETABLE DIVISION	
REPORT ON SANITARY INSPECTION	
To Accompany EXPORT FORM CERTIFICATE	
No. _____	
To Plant Protection and Quarantine, Animal and Plant Health Inspection Service	
This is to report that representative samples of the _____ containers of _____ were inspected at _____	
in car trailer State lot	
_____ On _____	
for _____ (NAME AND ADDRESS OF APPLICANT)	
and were found to be free from plant diseases and apple-blueberry maggot, cherry fruit flies, fall webworm, grape phylloxera, Japanese beetle, Mexican fruit fly, oriental fruit moth, plum curculio, San Jose scale and woolly aphid and substantially free from other insects and from mites except as follows:	
(Give here an exact statement of the percent of fruit found to be infested or infected with each of the various plant pests found to occur in the shipment. See instructions issued to ship- ping-point inspectors on the preparation of Export Form Certificates and various sanitary memoranda.)	
_____ (DATE)	_____ (INSPECTOR)
WARNING	
This report is not a sanitary certificate and must not be used to accompany shipments of fruit to foreign countries. It is merely a statement of findings which will assist inspectors of Plant Protection and Quarantine to issue sanitary certificates at the point of departure. For limitations on the acceptability of this report as a basis for foreign certification, see Instructions on Issuing Export Form Certificates and various sanitary memoranda and information issued by Plant Protection and Quarantine on the import restrictions on fruits and vegetables of some foreign countries.	

FIGURE D-1-4: Sample of a Report on Sanitary Inspection (Form FV 294)

Acceptable Certificates Issued by FGIS


**Official Grain Inspection Certificate, Official Sample - Lot
Inspection (Form FGIS-905-1):**



This Certificate may be used in place of inspection. The word "EXPORT" will be typed on the form by FGIS.

Appendix D: Compilation of Contacts for Various Agencies and Official Certificates Issued by Various Agencies and States That May or May Not Be Acceptable in Place of Inspection

FORM FGIS-905-1 (12-86)
(Replaces Form
FGIS-905-1 (6-85)
which may be used.)



UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE
U.S. GRAIN STANDARDS ACT
OFFICIAL GRAIN INSPECTION
OFFICIAL SAMPLE - LOT INSPECTION

(Certificate)
NOT FOR CIRCULATION
us - 532601

Please refer to this certificate by its number, including the lettered prefix, if any, and date.

(ISSUED AT) _____ (DATE OF SERVICE) _____

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results:

<input type="checkbox"/> ORIGINAL INSPECTION	<input type="checkbox"/> REINSPECTION	<input type="checkbox"/> APPEAL INSPECTION	<input type="checkbox"/> BOARD APPEAL INSPECTION
<input type="checkbox"/> IN <input type="checkbox"/> OUT <input type="checkbox"/> LOCAL	LOCATION _____	IDENTIFICATION OF CARRIER _____	
QUANTITY (This is Not A Weight Certificate) <input type="checkbox"/> CARLOT <input type="checkbox"/> _____		METHOD OF SAMPLING _____	DATE SAMPLED _____
GRADE AND KIND _____			

TW	LBS	M	%	HT	%	DKT	%	FM	%	SHBR	%	DEF	%	CEL	%
WOCL	%	BCFM	%	SBLV	%	BN	%	THIN	%	SB	%	SKN	%	OG	%
WD	%	SO	%	FMOW	%	BNFM	%	SPL	%	SBOC	%				

REMARKS _____

This certificate supersedes Certificate No. _____

☐ STOWAGE AREA EXAMINED
 ☐ STOWAGE AREA NOT EXAMINED

VOID

(See reverse side for abbreviations)

APPLICANT _____	NAME OR SIGNATURE _____
-----------------	-------------------------

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on this certificate are considered true at the time and place the inspection or the weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not cancelled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.

WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties.


FIGURE D-1-5: Sample of an Official Grain Inspection Certificate, Official Sample - Lot Inspection (Form FGIS-905-1)

Appendix D: Compilation of Contacts for Various Agencies and Official Certificates Issued by Various Agencies and States That May or May Not Be Acceptable in Place of Inspection

Official Export Grain Inspection Certificate (Form FGIS-909):

FORM FGIS-909
(7-99)

(Replaces Form
FGIS-909 (12-89)
which may be used)



UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE
U.S. GRAIN STANDARDS ACT
OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE

ORIGINAL
NOT NEGOTIABLE
us- 13728

(ISSUED AT)

(DATE OF SERVICE)

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.), to inspect the kind of grain covered by this certificate.

☐ ORIGINAL INSPECTION

☐ REINSPECTION

☐ APPEAL INSPECTION

☐ BOARD APPEAL INSPECTION

QUANTITY (This is NOT a Weight Certificate)

LOCATION

IDENTIFICATION OF CARRIER

GRADE AND KIND (In accordance with the Official United States Standards for Grain)

STOWAGE

REMARKS

VOID

APPEAL NO. (If applicable)

APPLICANT

NAME AND SIGNATURE

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or the weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.

WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties.

The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.

FIGURE D-1-6: Sample of an Official Grain Inspection Certificate (Form FGIS-909)



This Certificate may be used in place of inspection. The shield printed on this form is gradually being phased out. Currently both forms of this Certificate are acceptable—with and without the shield.

Official Grain Inspection Certificate (Form FGIS-909-1):


<small>FORM FGIS-909-1 (4-85) (Replaces Form JK-413-1 (10-80) which may be used until exhausted)</small>	 UNITED STATES DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE U.S. GRAIN STANDARDS ACT OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE	DIVIDED LOT - ORIGINAL NOT NEGOTIABLE
<div style="display: flex; justify-content: space-between;"><div><small>Please refer to this certificate by its number, including the lettered prefix, if any, and date.</small></div><div><small>(ISSUED AT)</small></div><div><small>(DATE OF SERVICE)</small></div></div>		
<small>I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.), to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results:</small>		
<div style="display: flex; justify-content: space-around;"><div><input type="checkbox"/> ORIGINAL INSPECTION</div><div><input type="checkbox"/> REINSPECTION</div><div><input type="checkbox"/> APPEAL INSPECTION</div><div><input type="checkbox"/> BOARD APPEAL INSPECTION</div></div>		
<small>QUANTITY (This is Not a Weight Certificate)</small>		
<small>LOCATION</small>		<small>IDENTIFICATION OF CARRIER</small>
<small>GRADE AND KIND (In accordance with the Official Grain Standards of the United States)</small>		
<small>STOWAGE</small>		
<div><small>REMARKS</small> <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">This grain was officially inspected as an undivided lot of _____ No part of the lot was officially inspected as a separate unit.</div><div style="font-size: 2em; font-weight: bold; margin-top: 10px; text-align: center;">VOID</div></div>		
<small>APPEAL NO. (If applicable)</small>	<small>APPLICANT</small>	<small>NAME AND SIGNATURE</small>
<small>This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.8 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or the weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not cancelled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law. WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties. The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.</small>		
EXPORT		

FIGURE D-1-7: Sample of an Official Export Grain Inspection Certificate (Form FGIS-909-1)



This Certificate looks almost exactly like the form on the preceding page (Form FGIS-909) except for the "Divided Lot" which occurs in the upper right corner of Form FGIS-909-1.

Official Export Grain Inspection Certificate (Form FGIS-909-2):

FORM FGIS-909-2
(3-92)
(Previous editions may be used)

UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE
U.S. GRAIN STANDARDS ACT
OFFICIAL EXPORT GRAIN INSPECTION CERTIFICATE

APPROVED OMB NO. 0580-0013
EXPIRATION: 6/30/94
ORIGINAL
NOT NEGOTIABLE
US- 104501

(ISSUED AT)

(DATE OF SERVICE)

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to inspect the kind of grain covered by this certificate and that on the above date the following identified grain was inspected under the Act, with the following results:

☐ ORIGINAL INSPECTION

☐ REINSPECTION

☐ APPEAL INSPECTION

☐ BOARD APPEAL INSPECTION

QUANTITY (This is NOT a Weight Certificate)

IDENTIFICATION OF CARRIER

LOCATION

METHOD OF SAMPLING

DATE SAMPLED

GRADE AND KIND (in accordance with the Official Grain Standards of the United States)

Test weight per bushel Lbs

Moisture %

Damaged kernels (total) %

Foreign material %

Shrunken and broken kernels %

Defects (total) %

Broken corn and foreign material %

Broken kernels, foreign material, & other grains %

Heat-damaged kernels %

Splits %

Contrasting classes %

Wheat of other classes (total) %

REMARKS

APPEAL NO. (if applicable)

APPLICANT

NAME AND SIGNATURE

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.) and the regulations thereunder (7 CFR 900.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or the weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.

WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties.

The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.

FIGURE D-1-8: Sample of an Official Export Grain Inspection Certificate having blanks for rating quality factors (Form FGIS-909-2)

This Certificate may be used in place of inspection. This form of the Certificate is only used at interior locations loading export shipments. It is **never** used at export elevators. Compare with Form FGIS-909.

D-1-10

Export Certification Manual

06/2002-02
PPQ

Bean Inspection Certificate (Form FGIS-912) and Pea or Lentil Lot Inspection Certificate (Form FGIS-953):

FORM FGIS-912 (5-83)

Replaces Form IN-247 (6-50) which may be used until exhausted)

U.S. DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

B- 01223

BEAN INSPECTION CERTIFICATE

COPY

LOT INSPECTION

DATE		CITY AND STATE		IDENTIFICATION		QUANTITY	
GRADE AND CLASS							

SPLIT BEANS	DAMAGED BEANS	CONTRASTING CLASSES	FOREIGN MATERIAL	TOTAL DEFECTS	SOUND BEANS	BLISTERED AND WRINKLED	BROKEN BEANS	BADLY DAMAGED	CLASSES THAT BLEND	MOISTURE
%	%	%	%	%	%	%	%	%	%	%

REMARKS

I CERTIFY THAT on the date shown above, the LOT OF BEANS described was inspected, with the results stated.

SIGNATURE OF INSPECTOR

This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621 et seq.), and the regulations thereunder (7 CFR 68.1 et seq.), and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal laws.

WARNING: Sec. 203(h) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsely make, issue, alter, forge, or counterfeit any official certificate, or aid, assist, or be a party to such actions, is subject to a fine of not more than \$1,000 or imprisonment for not more than 1 year, or both.

The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

FIGURE D-1-9: Sample of a Bean Inspection Certificate (Form FGIS-912)

FORM FGIS-953 (3-84)

U.S. DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

No. B

PEA OR LENTIL LOT INSPECTION CERTIFICATE

COPY

LOT INSPECTION

DATE		CITY AND STATE		IDENTIFICATION		QUANTITY	
GRADE AND CLASS:							

DOCKAGE: (Thresher-run only):				TOTAL DOCKAGE	
SIZE OF SIEVE	SMALL SIZE	SPLITS	OTHER MATERIAL	%	%
		%	%	%	%

DEFECTS AND FOREIGN MATERIAL:								
WEEVIL DAMAGED	DAMAGED	CONTRASTING CLASSES	BLEACHED	SPLITS	SHRIVELED	CRACKED SEED COATS	FOREIGN MATERIAL	TOTAL DEFECTS AND FOREIGN MATERIAL
%	%	%	%	%	%	%	%	%

REMARKS:

Total dockage, defects and foreign material computed on the basis of the lot as a whole. → %

I CERTIFY that on the date shown above, the LOT OF PEAS OR LENTILS described was inspected, with the results stated.

SIGNATURE OF INSPECTOR

This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621 et seq.), and regulations thereunder (7 CFR 68.1 et seq.), and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal laws.

WARNING: Sec. 203(h) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsely make, issue, alter, forge or counterfeit any official certificate, or aid, assist, or be a party to such actions, is subject to a fine of not more than \$1,000 or imprisonment for not more than 1 year, or both.


(Replaces Form IN-107 (1-81) which may be used until exhausted)

FIGURE D-1-10: Sample of a Pea or Lentil Inspection Certificate (Form FGIS-953)

NOTICE

These certificates are being replaced by Form FGIS-993. Forms FGIS-912 and FGIS-953 are not obsolete and can be used until they are used up.

Commodity Inspection Certificate (Form FGIS-993):

		U.S. DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE		OMB NO. 0580-0013 (For additional OMB information see reverse.)
		COMMODITY INSPECTION CERTIFICATE		ORIGINAL NOT NEGOTIABLE B - 21792
DATE OF ISSUANCE	ISSUED AT		LEVEL OF INSPECTION	
APPLICANT		LOCATION OF COMMODITY		
IDENTIFICATION		QUANTITY AND CONTAINER		
<div style="font-size: 48px; font-family: cursive;">VOID</div>				
I CERTIFY THAT THE SERVICES SPECIFIED ABOVE WERE PERFORMED WITH THE RESULTS STATED.			INSPECTOR	
<small> This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U. S. C. 1621 et seq.), and the regulations thereunder (7 CFR 68.1 et seq.), and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal laws. WARNING: Sec. 203(h) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsify make, issue, alter, forge, or counterfeit any official certificate, or aid, assist, or be a party to such actions, is subject to a fine of not more than \$1,000 or imprisonment for not more than 1 year, or both. The conduct of all services and the licensing of inspectors/grading/sampling personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap. </small>				

FORM FGIS-993 (1-02) Replaces Form FGIS-992 (1-01) which may be used

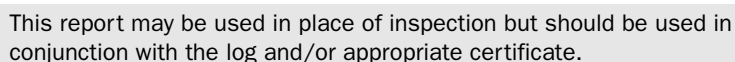
FIGURE D-1-11: Sample of a Commodity Inspection Certificate (Form FGIS-993)



This certificate may be used in place of inspection. Form FGIS-993 replaces Form FGIS-912 (Bean Inspection Certificate) and Form FGIS-953 (Pea or Lentil Inspection Certificate) that immediately preceded.

Inspection Report - Insects in Grain (Form FGIS-921-2):

FIGURE D-1-12: Sample of an Inspection Report - Insects in Grain (Form FGIS-921-2)



Unacceptable Certificates Issued by FGIS

Official Certificate, Warehouseman's Sample - Lot Inspection (Form IN-415):

FORM IN-415 (1-81)		UNITED STATES DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE		ORIGINAL NOT NEGOTIABLE	
		OFFICIAL CERTIFICATE WAREHOUSEMAN'S SAMPLE - LOT INSPECTION		SAMPLE US-	
Please refer to this certificate by its number, including the lettered prefix, if any, and date. <div style="float: right;"> (ISSUED AT) _____ (DATE OF SERVICE) _____ </div>					
I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to perform the inspection service covered by this certificate and that on the above date the following identified service was performed under the Act, with the following results:					
<input type="checkbox"/> IN	<input type="checkbox"/> OUT	<input type="checkbox"/> LOCAL	<input type="checkbox"/> ORIGINAL INSPECTION	<input type="checkbox"/> REINSPECTION	<input type="checkbox"/> APPEAL INSPECTION
QUANTITY (This Is Not A Weight Certificate)		DATE SAMPLED	METHOD OF SAMPLING	LOCATION	IDENTIFICATION OF CARRIER
The results of this inspection were based on the sample obtained and submitted by an elevator employee licensed under a contract with the Service. The certificate does not meet the requirements of section 5 of the U.S. Grain Standards Act.					
GRADE AND KIND					
TEST WEIGHT PER BUSHEL		MOISTURE			
Lbs.		%			
REMARKS (See reverse side for abbreviations.)					
			NAME OF WAREHOUSEMAN'S SAMPLER		CONTRACT NO.
APPEAL NO.			NAME OR SIGNATURE		
This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law. WARNING: Any person who shall knowingly falsify, make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties.					

FIGURE D-1-14: Sample of an Official Certificate, Warehouseman's Sample - Lot Inspection (Form IN-415)




This Certificate is **unacceptable** in place of inspection.

Official Certificate, Submitted Sample Inspection (Form FGIS-914):

FORM FGIS-914 (6-86)

Previous Edition (6-84)

May be Used



UNITED STATES DEPARTMENT OF AGRICULTURE

FEDERAL GRAIN INSPECTION SERVICE

ORIGINAL

NOT NEGOTIABLE

OFFICIAL CERTIFICATE

SUBMITTED SAMPLE INSPECTION

US-

SAMPLE

Please refer to this certificate by its number, including the lettered prefix, if any, and date.

(ISSUED AT)

(DATE OF SERVICE)

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to perform the inspection service covered by this certificate and that on the above date the following identified service was performed under the Act, with the following results:

☐ ORIGINAL INSPECTION

☐ REINSPECTION

☐ APPEAL INSPECTION

☐ BOARD APPEAL INSPECTION

QUANTITY OF GRAIN IN SAMPLE

IDENTIFICATION OF SAMPLE

SAMPLE SUBMITTED BY

The sample identification and inspection results shown on this certificate are assigned only to the quantity of grain in the sample indicated and not to any identified carrier, container, or lot from which the sample of grain may have been taken. This certificate does not meet the inspection requirements of Section 5 of the Act.

GRADE AND KIND

TW	LBS	M	%	HT	DKT	%	FM	%	SHBN	%	DEF	%	CCL	%
WOCL	%	BCFM	%	SBLV	MM	%	THIN	%	BB	%	SKBN	%	OG	%
WO	%	SO	%	FMOU	BNFM	%	SPL	%	SBOC	%		%		%

REMARKS

APPLICANT NO. (If applicable)

APPLICANT

NAME OR SIGNATURE

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is issued to show the kind, class, grade, quality, condition, or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.

WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties.

FIGURE D-1-15: Sample of an Official Certificate, Submitted Sample Inspection (Form FGIS-914)




This Certificate is **unacceptable** in place of inspection.

Appendix D: Compilation of Contacts for Various Agencies and Official Certificates Issued by Various Agencies and States That May or May Not Be Acceptable in Place of Inspection

Official Stowage Examination Certificate (Form FGIS-915):

FORM FGIS-915
(8-87)
Previous edition
(10-84) may be
used.



UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE

ORIGINAL
NOT NEGOTIABLE

OFFICIAL STOWAGE EXAMINATION CERTIFICATE

SAMPLE

Please refer to this certificate by its number,
including the lettered prefix, if any, and date.

(ISSUED AT)

(DATE OF SERVICE)

I certify that on the above date the following identified service was performed with the following results:

☐ ORIGINAL INSPECTION

LOCATION

IDENTIFICATION

TIME COMPLETED

STOWAGE SPACE EXAMINED

RESULTS ("x" one)

☐ Stowage space examined on the above date and found to be substantially clean, dry, free of insect infestation, and suitable to store or carry grain or commodity.

☐ Stowage space examined on the above date and found not suitable to store or carry grain or commodity (see remarks for reasons).

REMARKS

☐ USGSA

☐ AMA:

APPLICANT

NAME OR SIGNATURE OF INSPECTOR

This certificate is issued under the authority of the United States Grain Standards Act (7 U.S.C. 41-42), and the regulations thereunder (7 CFR 800.0 et seq.), or the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1631 et seq.), and regulations thereunder (7 CFR 68.1 et seq.), as appropriate. It is issued to show the condition of a carrier or container for the storage or transportation of grain or commodity. The statements on this certificate are considered true at the time and place the inspection service was performed. If this certificate is not canceled by a suspending certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.

WARNING: Any person who shall knowingly falsify, make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the Agricultural Marketing Act of 1946, or related Federal laws, is subject to criminal, civil, and administrative penalties.

The conduct of all services and licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.


FIGURE D-1-16: Sample of an Official Stowage Examination Certificate (Form FGIS-915)



This Certificate is **unacceptable** in place of inspection.

Official Certificate (Form FGIS-916):

FORM FGIS-916
(8-85)
(Replaces Form
FGIS-916 (12-84),
which may be used
until exhausted.)



UNITED STATES DEPARTMENT OF AGRICULTURE
FEDERAL GRAIN INSPECTION SERVICE
U.S. GRAIN STANDARDS ACT
OFFICIAL CERTIFICATE

COPY
NOT NEGOTIABLE

US-
SAMPLE

Please refer to this certificate by its number,
including the lettered prefix, if any, and date.

(ISSUED AT) _____ (DATE OF SERVICE) _____

I certify that I am licensed or authorized under the United States Grain Standards Act (7 U.S.C. 71 et seq.) to perform the inspection service covered by this certificate
and that on the above date the following identified service was performed under the Act, with the following results:

☐ CHECK-
LOADING

☐ SAMPLING

☐ OTHER
(Specify) _____

☐ ORIGINAL
INSPECTION

☐ REINSPECTION

☐ APPEAL
INSPECTION

☐ BOARD APPEAL
INSPECTION

QUANTITY _____ LOCATION _____ IDENTIFICATION OF CARRIER _____

OFFICIAL SAMPLE

DATE(S) SAMPLED _____

METHOD OF SAMPLING _____

QUANTITY OF GRAIN IN SAMPLE _____

NAME OF SAMPLER(S) _____

RESULTS _____

REMARKS _____

APPEAL NO. (If applicable) _____

APPLICANT _____

NAME OR SIGNATURE _____

This certificate is issued under the authority of the United States Grain Standards Act, as amended (7 U.S.C. 71 et seq.), and the regulations thereunder (7 CFR 800.0 et seq.). It is based to show the kind, class, grade, quality, condition, or quantity of grain, or the condition of a carrier or container for the storage or transportation of grain, or other facts relating to grain as determined by official personnel. The statements on the certificate are considered true at the time and place the inspection or the weighing service was performed. The certificate shall not be considered representative of the lot if the grain is transhipped or is otherwise transferred from the identified carrier or container or if grain or other material is added to or removed from the total lot. If this certificate is not canceled by a superseding certificate, it is receivable by all officers and all courts of the United States as prima facie evidence of the truth of the facts stated therein. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal law.
WARNING: Any person who shall knowingly falsely make, issue, alter, forge, or counterfeit this certificate, or participate in any such actions, or otherwise violate provisions in the U.S. Grain Standards Act, the U.S. Warehouse Act, or related Federal laws, is subject to criminal, civil, and administrative penalties.
The conduct of all services and the licensing of (inspecting/grading/sampling) personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, or national origin.

FIGURE D-1-17: Sample of an Official Certificate (Form FGIS-916)



This Certificate is **unacceptable** in place of inspection. It is for special use.

Commodity Certificate (Form FGIS-994):

U.S. DEPARTMENT OF AGRICULTURE FEDERAL GRAIN INSPECTION SERVICE		ORIGINAL NOT NEGOTIABLE
COMMODITY CERTIFICATE SUBMITTED SAMPLE INSPECTION		
A- 19015		
DATE OF ISSUANCE 1 September 11, 1989	ISSUED AT 2 Wichita, Kansas	LEVEL OF INSPECTION 3 Original
COMMODITY 4 Beans	QUANTITY IN SAMPLE 5 1,578 grams	
IDENTIFICATION OF SAMPLE 6 Kester 115	SAMPLE SUBMITTED BY 7 Kester Bean Company Elway, Kansas	
U.S. NO. 2 GREAT NORTHERN BEANS 8		
Split Beans 1.2%	Blistered and Wrinkled 0.0%	
Damaged Beans 1.2%	Broken Beans 0.0%	
Contrasting Class 0.0%	Badly Damaged 0.0%	
Foreign Material 0.0%	Classes that Blend 0.0%	
Total Defects 2.4%	Moisture 11.1%	
Sound Beans 97.6%		
END OF RESULTS		
NOT OFFICIALLY SAMPLED		
RESULTS OF THE ABOVE INSPECTION APPLY ONLY TO THE QUANTITY OF SAMPLE INDICATED AND NOT TO THE COMMODITY FROM WHICH THE SAMPLE MAY HAVE BEEN TAKEN.		
I CERTIFY THAT THE SERVICES SPECIFIED ABOVE WERE PERFORMED WITH THE RESULTS STATED.		INSPECTOR 9 Frank King
<small>This certificate is issued under the authority of the Agricultural Marketing Act of 1946, as amended (7 U.S.C. 1621 et seq.), and the regulations thereunder (7 CFR 58.1 et seq.), and is receivable in all courts of the United States as prima facie evidence of the truth of the statements therein contained. This certificate does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal laws. WARNING: Sec. 203(n) of the Agricultural Marketing Act of 1946 provides that anyone who shall knowingly falsely make, issue, alter, forge, or counterfeit any official certificate, or aid, assist, or be a party to such actions, is subject to a fine of not more than \$1,000 or imprisonment for not more than 1 year, or both. The conduct of all services and the licensing of inspecting/grading/sampling personnel under the regulations governing such services shall be accomplished without discrimination as to race, color, religion, sex, national origin, age, or handicap.</small>		
FORM FGIS-994 (5-80)		

FIGURE D-1-18: Example of a Commodity Inspection Certificate (Form FGIS-994)

NOTICE

This Certificate is **unacceptable** in place of inspection. It is for sampling commodities like beans, hops, lentils, and peas.

FIGURE D-1-1: Example of a Commodity Inspection Certificate (Form AMS FV-184)

NOTICE

06/2002-02
PPO

FGIS Contacts

State Location and Telephone Number FGIS Contacts

ARKANSAS

William B. Strickland, OIC
USDA-GIPSA-FGIS
Grant Center, Suite J
1904 Grant Avenue
Jonesboro, AR 72401
Comm:870-932-4585
FAX:870-931-4593

Clyde D. Steves, Field Office Mgr. (FOM)
Jacky R. Clements, Asst. FOM
USDA-GIPSA-FGIS
P.O. Box 152
Stuttgart, AR 72160
Comm:870-673-2508
FAX:870-673-2500

CALIFORNIA

Michael Johnson, Federal/State Mgr.
USDA-GIPSA-FGIS, #A-471
CA Federal/State Office
1220 N Street
Sacramento, CA 95814
Comm:916-654-0743
FAX:916-653-2409

CANADA

Dave Grady, Field Office Manager
USDA, GIPSA, FGIS
715 Peel Street, Suite 272
Montreal, Quebec H3C 4L7
Canada
Comm: 514-392-9798
FAX: 514-392-9766

GEORGIA

Larry D. Troutman, OIC
USDA-GIPSA-FGIS
160 Penniman Circle
Brunswick, GA 31525
Comm:912-280-0040
FAX:912-280-0045

IDAHO

Robert Peterson, OIC
USDA-GPISA-FGIS
220 E. 5th Street, Room 212D
Moscow, ID 83843-2964

Appendix D: Compilation of Contacts for Various Agencies and Official Certificates Issued by Various Agencies and States
That May or May Not Be Acceptable in Place of Inspection

Comm:208-882-4833
FAX:208-883-4239

IOWA

Ronald G. Metz, Field Office Mgr.
USDA-GIPSA-FGIS
P.O. Box 74855
Cedar Rapids, IA 52407
Comm:319-364-0047
FAX:319-364-3193

KANSAS

Kenneth L. Critchfield, Field Office Manager
USDA, GIPSA, FGIS
7920 W. Kellogg, Suite 200
Wichita, KS 67209-2006
Comm:316-722-6370
FAX:316-722-1780

LOUISIANA

Wayne M. Melvin, OIC
USDA-GIPSA-FGIS
P.O. Box 443
Crowley, LA 70527
Comm:337-262-6694
FAX:337-783-7415
Destrehan FAX: 504-764-0732
Port of Lake Charles
Comm: 337-437-7288
FAX: 337-494-1606

John H. Shropshire, Field Office, Mgr.
USDA-GIPSA-FGIS
P.O. Box 640
Destrehan, LA 70047
Comm:985-764-2324
FAX:985-764-0732

Donald E. Martin, OIC
USDA-GIPSA-FGIS
P.O. Box 744
Port Allen, LA 70767
Comm:225-389-0373
FAX:225-389-0484

MARYLAND

Cornelius (Pat) LaCour, Field Office Mgr.
USDA-GIPSA-FGIS
500 McCormick Drive, Suite E
Glen Burnie, MD 21061
Comm:410-590-2259
FAX:410-766-8604

MINNESOTA

Ted Respet, OIC
USDA, GIPSA, FGIS
P.O. Box 33
Superior, WI 54880
Comm: 715-392-7677
FAX: 715-392-7741

Steve Bennett, Field Office Mgr.
USDA-GIPSA-FGIS
Suite 310-Towle Bldg.
330 2nd Ave., South
Minneapolis, MN 55401
Comm:612-335-4095
FAX:612-335-4094

MISSISSIPPI

Ken Carter, OIC
USDA-GIPSA-FGIS
P.O. Box 4824
Greenville, MS 38704
Comm:662-335-4805
FAX:662-332-4622

MISSOURI

Diane K. Palecek, Field Office Mgr.
Kenneth E. Weaver, Asst. FOM
USDA-GIPSA-FGIS
Suite 180, Stop 1404, 6501 Beacon Drive
Kansas City, MO 64133
Comm:816-823-4640
FAX:816-823-4644

NORTH DAKOTA

Thomas J. Wrenn, Field Office Mgr.
James Tullous, Asst. FOM
P.O. Box 13427
Grand Forks, ND 58201
Comm:701-772-3371
FAX:701-772-0362

OHIO

David M. Mundwiler, Field Office Mgr.
Gregory K. Jan, Asst. FOM
USDA-GIPSA-FGIS
1910 Indian Wood Circle, Suite 401
Maumee, OH 43537
Comm:419-259-6276
FAX:419-259-7464

OREGON

Walter E. Rust, Field Office Mgr.
USDA-GIPSA-FGIS
P.O. Box 3837

Appendix D: Compilation of Contacts for Various Agencies and Official Certificates Issued by Various Agencies and States
That May or May Not Be Acceptable in Place of Inspection

Portland, OR 97208
Comm:503-326-7887
FAX:503-326-7896

TEXAS

Alfred Broussard, OIC
USDA-GIPSA-FGIS
1745 Buford Street, Suite A
Beaumont, TX 77701
Comm:409-839-2425
FAX:409-839-8281

Tom Wane, OIC
USDA-GIPSA-FGIS
P.O. Box 2942
Corpus Christi, TX 78403
Comm:361-888-3461
FAX:361-888-3463

Ronald E. Cates, Field Office Mgr.
Dannye R. Cameron, Asst. FOM
USDA-GIPSA-FGIS
1025 East Main St., #104
League City, TX 77573
Comm:281-338-2787
FAX:281-338-2788

WASHINGTON

John Flemm, Federal/State Mgr.
USDA-GIPSA-FGIS
Washington Federal/State Office
3939 Cleveland Ave., SE
Olympia, WA 98501-4079
Comm:360-753-9072
FAX:360-586-5257

WISCONSIN

Ted Respet, OIC
USDA-GIPSA-FGIS
P.O. Box 33
Superior, WI 54880
COMM:715-392-7677
FAX:715-392-7741



Appendix E

Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species

Contents

Introduction	page-E-1-1
USDA General Permit	page-E-1-2
Permits That Make It Legal to Export Plants Protected by ESA	page-E-1-2
Document That Makes It Legal to Export or Reexport Plants Protected by CITES	page-E-1-6
The Anatomy of a Multi-purpose Form Used to Construct Permits and Certificates That Authorize Trade in Plants Protected by CITES	page-E-1-11
Documents That Make It Legal to Export Plants Protected by CITES	page-E-1-15

Introduction

The examples and samples of certificates, permits, and reports contained in this appendix are divided into eight categories. The categories are as follows:

1. USDA General Permit that makes it legal to export or reexport commercial shipments of plants protected by ESA and CITES.
2. Permits that make it legal to export plants protected by The Endangered Species Act (ESA).
3. Document that makes it legal to export or reexport plants protected by ESA.
4. The anatomy of a multipurpose form used to construct permits and certificates that authorize trade in plants protected by The Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES).
5. Documents that make it legal to export plants protected by CITES.
6. Document that makes it legal to export wild American ginseng protected by CITES.
7. Document that makes it legal to export cultivated American ginseng protected by CITES.

8. Document that makes it legal to export American ginseng protected by CITES.

USDA General Permit

USDA
United States
Department of
Agriculture

Animal and
Plant Health
Inspection
Service

Plant Protection
and Quarantine

No. GP-1026

General Permit

To engage in the business of
importing, exporting, or reexporting terrestrial plants
regulated by 50 CFR 17.12 or 23.23

Issued to: Exotic Collectors Ltd., Inc.
9470 158th Road South
Delray Beach, Florida 33446

July 17, 1996
Expiration Date

Deborah M. Knott
Approving Official
DEBORAH M. KNOTT

Any alteration, forgery, or unauthorized use of this Federal Form is subject to civil penalties of up to \$250,000 (7 U.S.C.s 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C.s 1001).

PPQ FORM 622 (SEP 2000) U.S. GOVERNMENT PRINTING OFFICE: 2000-323-476

PART 1 - PERMITTEE

FIGURE E-1-1: Example of a USDA General Permit (General Permit, PPQ Form 622) issued for all commercial exports and reexports of protected plants

Permits That Make It Legal to Export Plants Protected by ESA

Permit for Endangered or Threatened Species (Form 3-201) (Federal Fish and Permit):

See [Figure E-1-2 on page-E-1-4](#) for an example of this permit.

Purpose

To authorize certain activities involving an endangered or threatened species. With a permit, it is legal to export and/or sell or offer for sale endangered or threatened species in foreign commerce.

Important Information

This permit is only good for plants and plant derivatives of species listed solely as endangered.



All conditions listed in Block 11 must be followed; otherwise the movement of the plant or its derivatives is illegal. However, seeds of cultivated threatened species do not require a permit and their movement is not restricted as a threatened species if the seeds are labeled with the name of the species and a statement that the seeds are of cultivated origin.

How to Endorse Permits

If the permit is authentic and all conditions are met, then stamp “RELEASED” in the bottom right-hand corner of Block 11; then sign and date. See [page-2-8-14](#) for directions on how to distribute endorsed copies of this permit¹.

¹ If the exporters need to have their General Permit renewed, or have questions about renewals, they should call the Permit Unit at 1-877-770-5990, fax at 1-301-734-8700, write to PPQ-APHIS-USDA, Permit Unit, 4700 River Road, Riverdale, MD 20737, or go to <http://www.aphis.usda.gov/ppq/ss> on the Internet.

		DEPARTMENT OF THE INTERIOR U.S. FISH AND WILDLIFE SERVICE		3-201 (1/97)
FEDERAL FISH AND WILDLIFE PERMIT				
1. PERMITTEE DR. M. F. MARCONE DEPARTMENT OF FOOD SCIENCE UNIVERSITY OF GUELPH GUELPH, ONTARIO, N1G 2W1 CANADA		2. AUTHORITY-STATUTES 16 USC 1539 (A) 16 USC 1533 (D) REGULATIONS (Attached) 50 CFR 17.62 50 CFR 17.72		
		3. NUMBER MA044611-0		
		4. RENEWABLE <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	5. MAY COPY <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
		6. EFFECTIVE 11/20/2001	7. EXPIRES 11/19/2006	
8. NAME AND TITLE OF PRINCIPAL OFFICER (If #1 is a business)		9. TYPE OF PERMIT ENDANGERED & THREATENED SPECIES- PLANTS		
10. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED IMPORT AND RE-EXPORT THROUGH ANY PORT LISTED IN 50 CFR 24.12.				
11. CONDITIONS AND AUTHORIZATIONS: A. GENERAL CONDITIONS SET OUT IN SUBPART D OF 50 CFR 13, AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY, OR RENEWAL OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS. B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW. C. VALID FOR USE BY PERMITTEE NAMED ABOVE. D. Acceptance of this permit serves as evidence that the permittee understands and agrees to abide by the "General Permit Conditions for Endangered and Threatened Plants". E. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of seabeach amaranth (<i>Amaranthus pumilus</i>) of cultivated origin for the purpose of scientific research: Accession numbers PI 553080 (DB 8905; Ames 10818) PI 553081 (DB 8905; Ames 10819) PI 553082 (DB 8907; Ames 10820) PI 553083 (DB 8908; Ames 10821) PI 553084 (DB 8909; Ames 10822) PI 553085 (DB 8911; Ames 10824) F. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of round-leaved chaff-flower (<i>Achyranthes splendens</i> var. <i>rotundata</i>) of cultivated origin for the purpose of scientific research. Accession numbers 92.0256 and 90s150. G. Authorized to re-import and re-export specimens (seeds, plants and/or derivatives) of kulu'i (<i>Nototrichium humile</i>) of cultivated origin for the purpose of scientific research. Accession numbers 93c267 and 93s47. H. Authorized to conduct scientific analyses at various U.S. facilities as described in the application. I. Permittee may not release any of the plants, seeds, or derivatives into the wild. <input type="checkbox"/> ADDITIONAL CONDITIONS AND AUTHORIZATIONS ALSO APPLY				
12. REPORTING REQUIREMENTS				
ISSUED BY (s) Charlie Chandler		TITLE CHIEF, BRANCH OF PERMITS, DMA		DATE 11/20/2001

FIGURE E-1-2: Example of an Division of Management Authority (DMA) permit issued under the authority of ESA for Endangered and/or Threatened Species (Form 3-201)

Permit for Threatened Species (Form 3-201) (Federal Fish and Wildlife Permit):

See [Figure E-1-3 on page-E-1-6](#) for an example of this permit.

Purpose To authorize certain activities involving a threatened species². With a permit it is legal to export and/or sell or offer for sale threatened species in foreign commerce.

Important Information This permit for threatened species is only good for plants and plant derivatives of species listed solely as threatened.

Permits are approved only for scientific research, enhancement of propagation, survival of the species, horticultural or botanical exhibition, educational purposes, or special purposes consistent with ESA.



All conditions listed in Block 11 must be followed; otherwise the movement of the threatened plant or its derivatives is illegal.

Seeds of cultivated threatened species do not require a permit if those seeds are labeled with the name of the species and a statement that the seeds are of cultivated origin.

How to Endorse Permits If the permit is authentic and all conditions are met, then stamp “RELEASED” in the bottom right-hand corner of Block 11; then sign and date. See [page-2-8-14](#) for directions on how to distribute endorsed copies of this permit.

² A threatened species is one likely to become endangered and is afforded less protection than an endangered species.

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species


 <p>DEPARTMENT OF THE INTERIOR U.S. FISH AND WILDLIFE SERVICE</p> <p>FEDERAL FISH AND WILDLIFE PERMIT</p>		<p>3-201 (1/97)</p>	
<p>1. PERMITTEE</p> <p>U.S. FISH & WILDLIFE SERVICE WESTERN WASHINGTON OFFICE 510 DESMOND DRIVE SE, SUITE 102 LACEY, WA 98503</p>		<p>2. AUTHORITY-STATUTES</p> <p>16 USC 1533 (D)</p> <p>REGULATIONS (Attached)</p> <p>50 CFR 17.72</p>	
		<p>3. NUMBER</p> <p>MA035697-0</p>	
		<p>4. RENEWABLE</p> <p><input type="checkbox"/> YES</p> <p><input checked="" type="checkbox"/> NO</p>	<p>5. MAY COPY</p> <p><input type="checkbox"/> YES</p> <p><input checked="" type="checkbox"/> NO</p>
		<p>6. EFFECTIVE</p> <p>12/06/2000</p>	<p>7. EXPIRES</p> <p>12/06/2001</p>
<p>8. NAME AND TITLE OF PRINCIPAL OFFICER (if #1 is a business)</p> <p>GERRY JACKSON</p>		<p>9. TYPE OF PERMIT</p> <p>THREATENED SPECIES - PLANTS</p>	
<p>10. LOCATION WHERE AUTHORIZED ACTIVITY MAY BE CONDUCTED</p>			
<p>11. CONDITIONS AND AUTHORIZATIONS:</p> <p>A. GENERAL CONDITIONS SET OUT IN SUBPART D OF 50 CFR 13, AND SPECIFIC CONDITIONS CONTAINED IN FEDERAL REGULATIONS CITED IN BLOCK #2 ABOVE, ARE HEREBY MADE A PART OF THIS PERMIT. ALL ACTIVITIES AUTHORIZED HEREIN MUST BE CARRIED OUT IN ACCORD WITH AND FOR THE PURPOSES DESCRIBED IN THE APPLICATION SUBMITTED. CONTINUED VALIDITY OR RENEWAL OF THIS PERMIT IS SUBJECT TO COMPLETE AND TIMELY COMPLIANCE WITH ALL APPLICABLE CONDITIONS, INCLUDING THE FILING OF ALL REQUIRED INFORMATION AND REPORTS.</p> <p>B. THE VALIDITY OF THIS PERMIT IS ALSO CONDITIONED UPON STRICT OBSERVANCE OF ALL APPLICABLE FOREIGN, STATE, LOCAL OR OTHER FEDERAL LAW.</p> <p>C. VALID FOR USE BY PERMITTEE NAMED ABOVE.</p> <p>D. Acceptance of this permit serves as evidence that the permittee understands and agrees to abide by the "General Permit Conditions for Endangered and Threatened Plants". The reporting requirements of Condition 8 are not applicable and no report need be submitted.</p> <p>E. Authorized to import 4,000 to 6,000 seeds of golden paintbrush, <i>Castilleja levisecta</i>, collected from wild populations of the plant at Trials Island and Alpha Islet, British Columbia, Canada, for use as described in permittee's application file.</p> <p>F. Half of the imported seeds must be stored at the Berry Botanic Garden, Portland, Oregon, for future use as determined by the U.S. Fish and Wildlife Service.</p> <p><input type="checkbox"/> ADDITIONAL CONDITIONS AND AUTHORIZATIONS ALSO APPLY</p>			
<p>12. REPORTING REQUIREMENTS</p>			
<p>ISSUED BY</p> <p>(s) Charlie Chandler</p>		<p>TITLE</p> <p>CHIEF, BRANCH OF PERMITS, DMA</p>	<p>DATE</p> <p>12/06/2000</p>

FIGURE E-1-3: Example of an Division of Management Authority (DMA) permit issued under the authority of ESA for Threatened Species (Form 3-201)

Document That Makes It Legal to Export or Reexport Plants Protected by CITES

Multipurpose Form 3-201A (Federal Fish and Wildlife Permit):

See [Figure E-1-4 on page-E-1-8](#) for a sample of this form.

Purpose

To authorize certain activities involving articles protected by CITES. With an endorsed permit or certificate it is legal to export or reexport protected or excepted articles.

Important Information

Form 3-201A is used to issue permits and certificates. A permit allows trade in protected species that would ordinarily be prohibited. Certificates on the other hand are issued when the article is “excluded” (an exception) from the prohibitions of CITES.



The articles or material that qualifies for an exception must still be accompanied by DMA issued documents

◆ EXPORT PERMIT

Issued for the export of Appendix I, II, and III species that are not excluded from CITES' prohibitions. For example, artificially propagated Appendix I plants that are being traded commercially would be issued a permit, not a certificate. Export Permits can never be valid for longer than 6 months.

◆ REEXPORT CERTIFICATE

Issued for protected species that were legally imported into the United States and are being reexported.

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species


FORM 3-201A (1/97)  CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)	Page _____ of _____ 1. Original Permit/Certificate No. _____ 2. Valid until _____						
3. Permittee (name and address, country)		4. Consignee (name and address, country)							
5. Special Conditions		6. Purpose of Transaction	5b. Security No.						
6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA									
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.									
7/8. Common Name and Scientific name (genus and species) of Animal or Plant		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)							
A Common Name		9.							
Scientific Name		10. Appendix No. and							
		11. Quantity (including units)							
		11a. Total Exported/Quota							
12. Country of Origin	Permit/Certificate No.	Date of Issue	12b. Breeding Operation No.						
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition						
B Common Name		9.							
Scientific Name		10.							
		11. Quantity (including units)							
		11a. Total Exported/Quota							
12. Country of Origin	Permit/Certificate No.	Date of Issue	12b. Breeding Operation No.						
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition						
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number							
<table border="1"> <tr> <td>See Block 7</td> <td>Quantity</td> </tr> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> </table>		See Block 7	Quantity	A		B		Port of Exportation / Re-exportation Total No. of Shipping Containers	
See Block 7	Quantity								
A									
B									
15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. Inspecting Official's Stamp, Signature and Date									

FIGURE E-1-4: Sample of an DMA multipurpose form for CITES permits and certificates (Form 3-201A)

See [Figure E-1-5 on page-E-1-10](#) for an example of this certificate.

◆ **OTHER CERTIFICATES (EXCEPTIONS)**

- ❖ Issued when the plant was acquired prior to the date that CITES applied to it (PRECONVENTION CERTIFICATE).
- ❖ Issued when Appendix II plants were artificially propagated or is a part or derivative of an artificially propagated plant (CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS).
- ❖ Issued when Appendix I plants were artificially propagated or is a part or derivative of an artificially propagated plant—as long as the Appendix I material was not propagated for commercial activities (CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS).
- ❖ Issued when the plant is exported or reexported as a noncommercial loan, donation, or exchange between registered scientists or scientific institutions (CERTIFICATE OF SCIENTIFIC EXCHANGE).
- ❖ Issued when Appendix III material that has not been listed by the United States is being exported or reexported (CERTIFICATE OF ORIGIN).

**How to Endorse
Export Permits
and Certificates**

See the specific permit or certificate that follows.

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species

FORM 3-201A (1997)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		Page 1 of 3	
CITES 3. Permittee (name and address, country) SEARLE BROTHERS NURSERY INC. 6640 S.W. 172 AVE. FT. LAUDERDALE, FL 33331 U.S.A.		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		1. Original Permit/Certificate No. 01US807154/9 2. Valid until 11/04/2005	
		4. Consignee (name and address, country) Monica Farris			
5. Special Conditions • MUST COMPLY WITH ATTACHED CONDITIONS FOR CITES CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS. CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL ON CERTIFICATE COPY, PERMITTEE MUST a) COMPLETE BLOCKS 4 AND 11, b) LIST SHIPMENT # AND c) HAVE COMPLETED CERTIFICATE COPY VALIDATED BY USDA PRIOR TO EACH SHIPMENT. • MUST EXPORT THROUGH A USDA DESIGNATED PORT. THIS RE-ISSUES AND REPLACES US 807154 ISSUED 4/8/1996.		5a. Purpose of Transaction T		5b. Security No. U59264702	
		6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA 11/05/2001 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)			
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.		7. Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name CYCADS Scientific Name CYCADACEAE		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS WHOLE PLANTS	
12. Country of Origin U.S.A. 12a. Country of Last Re-export		Permit/Certificate No. US 807154 Re-export Certificate No.		Date of Issue 04/08/1996 Date of Issue	
B. Common Name Scientific Name STANGERACEAE		9. CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS WHOLE PLANTS		10. Appendix No. and Source 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota	
12. Country of Origin U.S.A. 12a. Country of Last Re-export		Permit/Certificate No. US 807154 Re-export Certificate No.		Date of Issue 04/08/1996 Date of Issue	
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block. See Block 7 Quantity A B		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. Inspecting Official's Stamp, Signature and Date	

FIGURE E-1-5: Example of an DMA issued Certificate for Artificially Propagated Plants (Form 3-201A)



In the unnumbered block to the right of the CITES logo, "OTHER CERTIFICATES" has been checked. Block 9 then goes on to specify the kind of certificate being issued. Here the certificate is being issued for artificially propagated plants, a category of exception.

The Anatomy of a Multi-purpose Form Used to Construct Permits and Certificates That Authorize Trade in Plants Protected by CITES

■ Permit or Certificate Issued by the DMA to Authorize the Movement of Protected Articles (Form 3-201A) (Federal Fish and Wildlife Form):

See [Figure E-1-6 on page-E-1-12](#) for an example of this permit.

Unnumbered Block to the Right of the CITES Logo

■ This block identifies the kind of document being issued:

- ◆ An Export Permit
- ◆ A Reexport Certificate
- ◆ Other Certificates (the kind of certificate will be specified in Block 9)

■ Block 1 (completed by DMA)

Identifies the number of the document (used for control purposes).

■ Block 2 (completed by DMA)

Tells when the permit or certificate expires.

■ Block 3 (completed by DMA)

Names to whom the permit is issued.

■ Block 4 (completed by DMA or the permittee)

Identifies to whom the articles are going.

■ Block 5 (completed by DMA)

Specifies any and all conditions that have to be met before the movement of the articles is legal. This block will tell you if the document may be copied or if multiple shipments are allowed. This block may be amended to authorize the movement of plants or their derivatives that are also protected by ESA as endangered or threatened.

Permit or Certificate Issued by DMA to Authorize the Movement of CITES:

FORM 3-201A (1/87)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input checked="" type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page 1 of 5
3. Permittee (name and address, country) ALAN C. SALZMAN, ORCHIDS 1806 JACKSON ROAD PENFIELD, NY 14526		4. Consignee (name and address, country)		1. Original Permit/Certificate No. 00US805371/9 2. Valid until 01/27/2001		
5. Special Conditions MUST COMPLY WITH ATTACHED CONDITIONS FOR PLANTS. MUST EXPORT THROUGH A USDA DESIGNATED PORT & PERMIT MUST BE VALIDATED BY THE USDA PRIOR TO EXPORT. PERMIT MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. APPENDIX I SPECIMENS ARTIFICIALLY PROPAGATED FOR COMMERCIAL PURPOSES (ARTICLES IV & VII.4). PERMITTEE MUST COMPLETE BLOCK 4, QUANTITY, AND SHIPMENT #, PRIOR TO EACH SHIPMENT. THIS RE-ISSUES AND REPLACES 00US805371/9 ISSUED 1/21/2000.		5a. Purpose of Transaction T		5b. Security Stamp No. US4250499		
6. U.S. Management Authority OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA (s) Charlie Chandler 07/26/2000		7. Issuing Date 07/26/2000		United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)		
7/6. Common Name and Scientific name (genus and species) of Animal or Plant		8. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		10. Appendix No. and Source		
A. Common Name ASIAN TROPICAL LADY'S SLIPPER Scientific Name PAPHIOPEDILUM SPECIES		9. EXPORT: ARTIFICIALLY PROPAGATED WHOLE PLANTS (SEEDLINGS AND MATURE); AS DESCRIBED ON ATTACHED INVENTORY AND VARIETIES THEROF.		10. 1 D 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota		
12. Country of Origin U.S.A.		Permit/Certificate No. 00US805371/9		Date of Issue 08/12/1998		
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		
12b. Breeding Operation No.		12c. Pre-Convention: Date of Acquisition				
B. Common Name NEW WORLD TROPICAL LADY-SLIPPER Scientific Name PHRAGMIPEDIUM SPECIES		9. EXPORT: ARTIFICIALLY PROPAGATED WHOLE PLANTS (SEEDLINGS AND MATURE); AS DESCRIBED ON ATTACHED INVENTORY AND VARIETIES THEROF.		10. 1 D 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota		
12. Country of Origin U.S.A.		Permit/Certificate No. 00US805371/9		Date of Issue 08/12/1998		
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		
12b. Breeding Operation No.		12c. Pre-Convention: Date of Acquisition				
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. Inspecting Official's Stamp, Signature and Date		

FIGURE E-1-6: Example of an DMA issued export permit to authorize the movement of CITES protected articles (Form 3-201A)

- ◆ This permit has five pages.
- ◆ The document is an export permit and not a Certificate for Artificially Propagated Plants—even though Block 5 identifies the specimens as artificially propagated. The reason it is a permit and not a certificate is because Certificates cannot be issued for Appendix I plants that were artificially propagated for commercial purposes.

- ◆ This export permit authorizes multiple shipments and copying of the permit.
- ◆ Since the document is an export permit, the consignor is crossed out in Block 4.

See [Figure E-1-7 on page-E-1-14](#) for an example of this certificate.

Block 6
(completed by
DMA)

Identifies the individual issuing the permit. See page 2.8.12 for a list of individuals who are authorized to sign this form. Block 6 also gives the date of issue. Original permits or certificates will have a sticker that is sealed and embossed by DMA in this block. Earlier issues of this form had the symbol of an eagle printed in this block.

Block 7/8
(completed by
DMA)

Specifies what plants (or their derivatives) are authorized to move. If the document is a certificate other than a reexport certificate, then this block will specify the kind of certificate (see also the unnumbered block to the right of the CITES logo).

Block 10
(completed by
DMA)

Specifies for each entry the Appendix under which that entry is moving, I, II, or III. Block 10 uses four abbreviations:

- ◆ (W) Specimens taken from the wild
- ◆ (R) Specimens originating from a ranching operation
- ◆ (D) Appendix I plants artificially propagated for commercial purposes, as well as parts and products thereof
- ◆ (A) Plants artificially propagated
- ◆ (C) Animals bred in captivity
- ◆ (F)FI-Generation animals born in captivity
- ◆ (U) Source unknown
- ◆ (I) Confiscated or seized specimens

Block 11
(completed by
DMA or the
permittee)

Specifies the number or amount that is being allowed to be traded—or it will incorporate one or more inventory sheets. If the document is an export permit, then DMA will complete this block. If the document is a Certificate of Artificial Propagation, and hybrids are being exported, then the permittee completes this block.

Block 12
(completed by
DMA)

For exported plants that were grown, collected, or harvested in the United States, DMA will write “U.S.A.” in this block. The document number asked for is the same as that in Block 1.



FORM 3-201A (1/97)  CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)	Page 1 of 4 1. Original Permit/Certificate No. 01US730760/9 2. Valid until 08/02/2005
3. Permittee (name and address, country) ARID LANDS GREENHOUSES 3560 W. BILBY RD. TUCSON, AZ 85746		4. Consignee (name and address, country) WALLY VAN DER WALT 2 BAKER STREET NELSPRUIT, 1200 REPUBLIC OF SOUTH AFRICA	
5. Special Conditions <ul style="list-style-type: none"> MUST COMPLY WITH ATTACHED CONDITIONS FOR CITES CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS. APPENDIX I SPECIES NOT AUTHORIZED FOR EXPORT. CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. ON CERTIFICATE COPY, PERMITTEE MUST: <ul style="list-style-type: none"> a) COMPLETE BLOCKS 4 AND 11, b) LIST SHIPMENTS, AND c) HAVE COMPLETED CERTIFICATE COPY VALIDATED BY USDA PRIOR TO EACH SHIPMENT. MUST EXPORT THROUGH A USDA DESIGNATED PORT. THIS AMENDS AND RE-ISSUES US730760 ISSUED 6/19/1997. 		5a. Purpose of Transaction T 5b. Security Stamp No. U59261780 6. U.S. Management Authority OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  08/03/2001 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)	
7/8. Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name EUPHORBIA		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY. 10. Appendix No. and Source 2 A 11. Quantity (including units)	

FIGURE E-1-7: Example of an DMA issued Certificate to authorize the movement of artificially propagated CITES plants (Form 3-201A)



This document is a Certificate of Artificially Propagated Plants and not an export permit because the Appendix I plants were artificially propagated (Block 10) and Block 5 shows that they were propagated for noncommercial purposes. Contrast this certificate with the permit in [Figure E-1-6 on page E-1-12](#).

See [Figure E-1-8 on page E-1-15](#) for an example of this document.

Block 13
(completed by a PPQ officer)

Endorses the quantity of plants moving as specified for each entry in Block 7 (may be less, but never more than was authorized in Block 7).

Block 14
(completed by a PPQ officer)

Records the bill of lading number, port of exportation (must be a designated port), and the number of containers being shipped.

Block 15
(stamped and endorsed by a PPQ officer at a designated port)

Must be endorsed by a PPQ officer at a designated port to authorize movement of the articles protected by CITES. The officer stamps, dates, and signs the block.

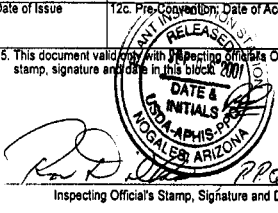
A. Common Name EUPHORBIA Scientific Name EUPHORBIA SPECIES		9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota							
12. Country of Origin U.S.A	Permit/Certificate No. US NO. 730760	Date of Issue 01/31/1989	12b. Breeding Operation No.								
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition								
B. Common Name ELEPHANT'S TRUNK DOGBANE Scientific Name PACHYPODIUM SPECIES		9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota							
12. Country of Origin U.S.A	Permit/Certificate No. US NO. 730760	Date of Issue 01/31/1989	12b. Breeding Operation No.								
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition								
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block. <table border="1"> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> <tr> <td>A</td> <td>64</td> </tr> <tr> <td>B</td> <td></td> </tr> </table>		See Block 7	Quantity	A	64	B		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation NOGALES, ARIZONA Total No. of Shipping Containers 1		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. 2001  Inspecting Official's Stamp, Signature and Date	
See Block 7	Quantity										
A	64										
B											

FIGURE E-1-8: Example of an endorsed DMA issued CITES document to authorize the movement of CITES protected articles (Form 3-201A)

- ◆ A permit or certificate is not valid until endorsed by a PPQ officer.
- ◆ In validating a certificate or permit, the offices must apply a “RELEASED” stamp to Block 15. Block 15 is signed at the bottom by the officer and dated with the name of the month spelled out.

Documents That Make It Legal to Export Plants Protected by CITES

Export Permit for CITES Protected Flora (Form 3-201A) (Federal Fish and Wildlife Permit):

See [Figure E-1-9 on page-E-1-17](#) for an example of this permit.

Purpose

To authorize the export of protected species. The species may be listed under one of three Appendixes. Currently the United States has no listing under Appendix III.

Important Information

Export permits are issued for the export of protected plants that are in Appendix I or II and do not qualify for an exception.

Plant species protected under Appendix I that are artificially propagated for commercial purposes must be issued an export permit—not a certificate of artificial propagation.

Export permits are valid only for 6 months but may authorize multiple shipments.



Important

All conditions listed in Block 5 must be followed; otherwise the movement of the protected plant or its derivatives is illegal. Block 5 will show whether multiple shipments are authorized and if the permit may be copied.

How to Endorse Export Permits

- 1.** Fill in the quantity of plants being exported in Block 13.
- 2.** Fill in Block 14 with the information requested.
- 3.** Sign, stamp, and date Block 15. Use your “RELEASE” stamp and, when dating, spell out the month.

Export Permit for CITES Protected Flora (Form 3-201A) (Federal Fish and Wildlife Permit):


<p>FCIM 3-201A (2/93)</p>  <p>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</p>		<p><input type="checkbox"/> IMPORT PERMIT <input checked="" type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATES (see block 9)</p>		<p>Page <u>1</u> of <u>5</u></p> <p>1. Original Permit / Certificate No. US 754744</p> <p>2. Valid until 6/5/95</p>									
<p>3. Permittee (name and address, country)</p> <p>ABBEY GARDEN 4620 CARPINTERIA AVE. CARPINTERIA CA 93013 U.S.A.</p>		<p>Jean Pierre Thelot 94 Allée des Mesanges 83136 Forcalqueiret FRANCE</p>											
<p>5. Special conditions</p> <p>-APPENDIX I SPECIMENS ARTIFICIALLY PROPAGATED FOR COMMERCIAL PURPOSES (ARTICLES IV & VII.4).-U.S. ENDANGERED SPECIES ACT (50 CFR 17.62, 17.72): PRT-709815. - MAY COPY FOR MULT. EXPORTS.-MUST COMPLY W/ ATTD COND. FOR CITES EXPORT OF ART. PROP APP. I PLANTS.*SHIPMENT NUM</p>		<p>6. U.S. Management Authority</p> <p>OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA</p> <p><i>Candice Anderson</i></p> <p>12/5/94 Issuing Date</p> <p>United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et seq.)</p>											
<p>7. Common Name and Scientific Name (genus and species) of Animal or Plant</p>		<p>9. Description of part or derivative, including identifying marks or numbers (age / sex if live)</p>											
<p>A. COMMON NAME NEW RIVER AGAVE</p> <p>SCIENTIFIC NAME AGAVE ARIZONICA</p>		<p>WHOLE PLANTS.</p>											
<p>B. COMMON NAME SANTA CRUZ STRIPED AGAVE</p> <p>SCIENTIFIC NAME AGAVE FARVIFLORA</p>		<p>WHOLE PLANTS.</p>											
<p>C. COMMON NAME ALOE</p> <p>SCIENTIFIC NAME ALOE ALBIDA</p>		<p>WHOLE PLANTS.</p>											
<p>D. COMMON NAME CACTUS</p> <p>SCIENTIFIC NAME CACTACEAE</p>		<p>WHOLE PLANTS; IDENTIFIED ON ATTACHED INVENTORY SHEET.</p>											
<p>13. Export / Re-export Endorsement:</p> <p>The official who inspects shipment upon exportation / re-exportation must enter the actual quantities of specimens being exported / re-exported in this block.</p> <table border="1"> <thead> <tr> <th>See block 7</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table>		See block 7	Quantity	A		B		C		D		<p>14. Bill of Lading / Air Way Bill Number</p> <p><i>Air Mail Priority</i></p> <p>Point of Exportation / Re-exportation LOS ANGELES CALIFORNIA</p> <p>Total No. of Shipping Containers 3 Cardboard Cartons</p>	
See block 7	Quantity												
A													
B													
C													
D													
<p>15. This document valid only with inspecting officer's ORIGINAL stamp, signature and date in this block.</p> <p>RELEASED LOS ANGELES, CA U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION & QUARANTINE MAR 2 1995</p> <p><i>[Signature]</i></p>													

FIGURE E-1-9: Example of an endorsed export permit for CITES protected flora (Form 3-201A)

Certificate for Artificially Propagated Plants (Form 3-201A) (Federal Fish and Wildlife Permit):

See [Figure E-1-10 on page-E-1-19](#) for an example of this certificate.

Purpose To authorize the export of protected species that are artificially propagated (a category of exception). The species may be listed under one of three Appendixes. Currently the United States has no listing under Appendix III.

Important Information Certificates for Artificially Propagated Plants may be used for all but Appendix I plants that were propagated for commercial purposes. These must be issued a permit.

Certificates may be valid for any appropriate length of time. Currently Certificates for Artificially Propagated Plants are issued for 2 years for plants listed in Appendix II. Certificates for non-commercially propagated Appendix I species are issued on a shipment-by-shipment basis.



All conditions listed in Block 5 must be followed; otherwise the movement of the protected plant or its derivatives is illegal. Block 5 will show whether multiple shipments are authorized and if the certificate may be copied.

How to Endorse Export Certificates

1. Fill in the quantity of plants being exported in Block 13.
2. Fill in Block 14 with the information requested.
3. Sign, stamp, and date Block 15. Use your “RELEASE” stamp and, when dating, spell out the month.

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species


FORM 3-201A (1/97)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		Page 1 of 4							
<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		1. Original Permit/Certificate No.: 01US730760/9 2. Valid until: 08/02/2005									
3. Permittee (name and address, country) ARID LANDS GREENHOUSES 3560 W. BILBY RD. TUCSON, AZ 85746		4. Consignee (name and address, country) <p style="text-align: center;">(s) Charlie Chandler</p>									
5. Special Conditions <ul style="list-style-type: none"> MUST COMPLY WITH ATTACHED CONDITIONS FOR CITES CERTIFICATE FOR ARTIFICIALLY PROPAGATED PLANTS. APPENDIX I SPECIES NOT AUTHORIZED FOR EXPORT. CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. ON CERTIFICATE COPY, PERMITTEE MUST: <ul style="list-style-type: none"> a) COMPLETE BLOCKS 4 AND 11, b) LIST SHIPMENTS# _____, AND c) HAVE COMPLETED CERTIFICATE COPY VALIDATED BY USDA PRIOR TO EACH SHIPMENT. MUST EXPORT THROUGH A USDA DESIGNATED PORT. THIS AMENDS AND RE-ISSUES US730760 ISSUED 6/19/1997. 		5a. Purpose of Transaction T		5b. Security Stamp No. 459261780							
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.		6. U.S. Management Authority OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  08/03/2001 Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)									
7/8. Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name EUPHORBIA Scientific Name EUPHORBIA SPECIES		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) 9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. Appendix No. and Source 10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota							
12. Country of Origin U.S.A		Permit/Certificate No. US NO. 730760		Date of Issue 01/31/1989							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue							
12b. Breeding Operation No.		12c. Pre-Convention: Date of Acquisition									
B. Common Name ELEPHANT'S TRUNK DOGBANE Scientific Name PACHYPODIUM SPECIES		9. ARTIFICIALLY PROPAGATED PLANTS: LIVE WHOLE PLANTS OF SPECIES AND HYBRIDS AS LISTED ON ATTACHED INVENTORY.		10. 2 A 11. Quantity (including units) INV ATTACHED 11a. Total Exported/Quota							
12. Country of Origin U.S.A		Permit/Certificate No. US NO. 730760		Date of Issue 01/31/1989							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue							
12b. Breeding Operation No.		12c. Pre-Convention: Date of Acquisition									
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number Port of Exportation / Re-exportation Total No. of Shipping Containers		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. Inspecting Official's Stamp, Signature and Date							
<table border="1"> <thead> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> </tbody> </table>		See Block 7	Quantity	A		B					
See Block 7	Quantity										
A											
B											

FIGURE E-1-10: Example of a Certificate for artificially propagated plants (Form 3-201A)

Continuation Sheet to Accompany CITES Documents (Federal Fish and Wildlife Permit):

See [Figure E-1-11 on page-E-1-21](#) for an example of this continuation sheet.

Purpose

To allow more than four entries on a permit or certificate issued under the authority of CITES. Note that Block 7/8 on Form 3-201A has space for only four entries—A through D.

Important Information

The continuation sheet becomes a part of the permit or certificate and therefore must be validated by a PPQ officer to authorize movement of the articles listed on it.

How to Endorse Continuation Sheets to Permits and Certificates

1. Fill in the quantity of plants being exported and the Port of Exportation (must be a designated port) in Block 14.
2. Fill in the waybill number in Block 15.
3. Sign, stamp, and date in the appropriate lines in Block 14. Use your “RELEASE” stamp and, when dating, spell out the month.

Important Information

The inventory sheet becomes a part of the permit or certificate and therefore must be validated by a PPQ officer to authorize movement of the articles listed on it.

Inventory sheets are used when the exporter requests authorization for more than four species or for a whole genus or family. Thus, an inventory sheet would be required to export a single plant if the permit was for a whole genus or family.

If there is an inventory sheet attached, Block 11 of the permit, certificate, or continuation sheet will show “Inventory attached.”



Important

The exporter can enter additional species to the inventory sheet as long as those entries do not supersede what is authorized on the permit or certificate.

How to Endorse Inventory Sheets

1. Fill in the Port of Exportation (must be a designated port) in Block 14.
2. Sign, stamp, and date in the appropriate lines in Block 14. Use your “RELEASE” stamp and, when dating, spell out the month.





	INVENTORY SHEET	Office of Management Authority U.S. Fish and Wildlife Service Department of the Interior Washington, D.C. 20240 UNITED STATES OF AMERICA	Page 4 of 4. 1. Original Permit/Certificate No. 01US684398/9
5/5. THIS PERMIT IS ISSUED UNDER AUTHORITY OF THE ENDANGERED SPECIES ACT OF 1973 (16 U.S.C. 1531 et seq.) BY:			
459261783 Security Stamp or Paper No.		WASHINGTON, D.C. Place	08/03/2001 Issuing Date
			
PERMITTEE: ARID LANDS GREENHOUSES (Quantity and species from approved list to be listed by permittee) BLOCK 7/8 A, B, C, D, E, F QUANTITY SPECIES			
A	2	Euphorbia actinoclada -c	
A	3	Euphorbia ambroseae	
A	3	Euphorbia barnhartii	
A	2	Euphorbia boranensis	
A	3	Euphorbia buruana- c	
A	3	Euphorbia cactus	
A	3	Euphorbia classenii	
A	4	Euphorbia dawei	
A	2	Euphorbia dissitaspina	
A	2	Euphorbia elegantissima	
A	3	Euphorbia fortissima -c	
A	2	Euphorbia graniticola	
A	2	Euphorbia griseola zambiensis	
A	3	Euphorbia inarticulata	
A	2	Euphorbia nigrispina	
A	3	Euphorbia parciramulosa	
A	2	Euphorbia proballyana	
A	3	Euphorbia pseudoburuana	
A	3	Euphorbia quadrialata	
A	2	Euphorbia samburuensis	
A	2	Euphorbia tescorum Lav. 12516	
A	3	Euphorbia vallis -c	
A	2	Euphorbia viduiflora	
A	2	Euphorbia vulcanorum	
A	3	Euphorbia williamsonii	
64		Total Plants	
<div style="position: relative; width: 100%; height: 100%;">  </div>			
15. EXPORT/RE-EXPORT/IMPORT ENDORSEMENT: I, the inspecting official, certify that the information provided above is accurate. This document is valid only with inspecting official's ORIGINAL stamp, signature and date in this block.			
		 Inspecting Official's Stamp, Signature and Date	

FIGURE E-1-12: Example of an endorsed inventory sheet to accompany CITES documents (FFW document)

Wild Ginseng Export Report (Federal Fish and Wildlife Document):

See [Figure E-1-13 on page E-1-24](#) for an example of this report.

Purpose

To identify the special conditions for the export of wild American ginseng.

Important Information

The bottom left-hand portion of the Report lists the States eligible for export of wild American ginseng for a particular season.

Except for the “Endorsement Block” the form is completed by the exporter. The exporter must write in the weight, by State, of the root being exported.

This form is attached to the export permit (since it is wild root).

How to Endorse Wild Ginseng Export Reports

If the permit that accompanies the report is authentic, all special conditions are met, and the State certificate(s) and the DMA issued permit match the Report, then stamp “RELEASED” on the line at the bottom of the endorsement block; sign and date, spelling out the month.

CATEGORIES OF GINSENG				
	WILD		ARTIFICIALLY PROPAGATED	
	Wild	Wild simulated	Cultivated	Cultivated Woodsgrown
Origin	Naturally occurring	Seeds or roots planted in natural habitat	Cultivated seed or roots	Cultivated seed or roots
Habitat	Within natural range, in suitable ginseng habitat	Within natural range, in suitable ginseng habitat	Grown in fields	Grown in woods similar to natural habitat
Cultivation	None	Planting of seeds or roots only	Intensive	When planted, largest rocks removed and drainage ditches may be dug around the beds
Fungicide	None	None	Extensive	Extensive
Harvest Methods	Dug by hand	Dug by hand	Often dug by mechanical means	Dug by hand

WILD GINSENG EXPORT REPORT FOR 2000 HARVEST SEASON

NOTE: permittee must supply the following information and attach original State Certificates for the ginseng in this shipment.

States Authorized for 2000 Export:

STATE	WEIGHT	
	Wild	Wild Simulated
Alabama		
Arkansas		
Georgia		
Illinois		
Indiana		
Iowa		
Kentucky		
Maryland		
Minnesota		
Missouri		
New York		
N. Carolina	81	
Ohio		
Pennsylvania	3	
Tennessee		
Vermont		
Virginia		
West Virginia		
Wisconsin		

Total Weight of this Shipment 84 lbs.

Revised August 2000

PORT OF EXPORT BALTIMORE-WASHINGTON INTL

DATE OF EXPORT OCTOBER 26, 2001

CONSIGNEE LEE HOONG KEE LIMITED
17 QUEEN'S ROAD WEST,
GROUND FLOOR
HONG KONG

U.S. PERMIT # 01US029057/9

SHIPMENT # 1
(start with # 1 each year)

FOR HERSHEY'S INTERNATIONAL, INC.
Glenn D. McNeill
(PERMITTEE'S SIGNATURE)

Endorsement:
RELEASED BY USDA
10/30/01 Signature of APHIS Inspector 3288
1 CONTAINERS & PKGS. OPENED
Official APHIS/PPQ Stamp
59996

FIGURE E-1-13: Example of an endorsed DMA export report listing the special conditions for the export of wild ginseng (front) (FFW document)

Cultivated Ginseng Export Report (Federal Fish and Wildlife Document):

See an [Figure E-1-14 on page-E-1-26](#) for an example of this report.

Purpose

To identify the special conditions for the export of cultivated American ginseng.

Important Information

Except for the lines for endorsement in the lower right-hand corner, the form is completed by the exporter. The exporter must write in the weight, by State, of the root being exported.

This form is attached to the Certificate for Artificially Propagated Plants (since it is cultivated root).

How to Endorse Cultivated Ginseng Export Reports

If the permit that accompanies the Report is authentic, all special conditions are met, and the State certificate verifies that the root was cultivated, then stamp “RELEASED” on the line at the bottom of the endorsement block; then sign and date, spelling out the month.

CATEGORIES OF GINSENG				
	WILD		ARTIFICIALLY PROPAGATED	
	Wild	Wild simulated	Cultivated	Cultivated Woodsgrown
Origin	Naturally occurring	Seeds or roots planted in natural habitat	Cultivated seed or roots	Cultivated seed or roots
Habitat	Within natural range, in suitable ginseng habitat	Within natural range, in suitable ginseng habitat	Grown in fields	Grown in woods similar to natural habitat
Cultivation	None	Planting of seeds or roots only	Intensive	When planted, largest rocks removed and drainage ditches may be dug around the beds
Fungicide	None	None	Extensive	Extensive
Harvest Methods	Dug by hand	Dug by hand	Often dug by mechanical means	Dug by hand

CULTIVATED GINSENG EXPORT REPORT

NOTE: permittees must supply the following information and attach original State Certificates for the ginseng in this shipment.

States Authorized for Cultivated Ginseng Export:

State	Weight		PORT OF EXPORT <u>CHICAGO, ILL</u>
	Cultivated	Cultivated Woodsgrown	DATE OF EXPORT <u>10-16-01</u>
Alabama	_____	_____	CONSIGNEE <u>Wing Ioo Loong GINSENG</u>
Arkansas	_____	_____	<u>31 NORTH CAROL RD</u>
Georgia	_____	_____	<u>GLW BPORE 0105</u>
Idaho	_____	_____	
Illinois	_____	_____	
Indiana	_____	_____	
Iowa	_____	_____	U.S. PERMIT # <u>696378</u>
Kentucky	_____	_____	SHIPMENT # <u>03</u>
Maine	_____	_____	(start with # 1 each year)
Maryland	_____	_____	<u>T. T. T. T.</u>
Michigan	_____	_____	(PERMITTEE'S SIGNATURE)
Minnesota	_____	_____	Endorsement:
Missouri	_____	_____	<u>Paul H. Lyon, October 18, 2001</u>
New York	_____	_____	Signature of APHIS/PPQ Inspector
N. Carolina	_____	_____	RELEASED
N. Dakota	_____	_____	U.S. DEPARTMENT OF AGRICULTURE
Ohio	_____	_____	NATIONAL AND PLANT HEALTH INSPECTION SERVICE
Oregon	_____	_____	PLANT PROTECTION AND QUARANTINE
Pennsylvania	_____	_____	
Tennessee	_____	_____	
Vermont	_____	_____	
Virginia	_____	_____	
Washington	_____	_____	
West Virginia	_____	_____	
Wisconsin	<u>1180</u>	_____	
Total Weight of this Shipment <u>1180 LBS.</u>			Revised 10-22-99

FIGURE E-1-14: Example of an endorsed DMA export report listing the special conditions for the export of cultivated ginseng (front) (FFW document)

American Ginseng Export Certificate (State issued certificate):

See [Figure E-1-15 on page-E-1-27](#) for a sample of this certificate.

Purpose

To certify that the root was either legally collected or cultivated in the State identified on the certificate.

Important Information

The certificate must be an original and signed by a State regulatory official.

- ◆ There cannot be both wild and cultivated American ginseng on the same certificate.

- ◆ If the exporter is exporting only a portion of the roots authorized on the Certificate, then allow the exporter to mark the balance on the certificate. Changes must be signed and dated by the exporter.
- ◆ Never allow the State certificate to go forward with the exported roots! This certificate must be sent to DMA after it is endorsed by a PPQ officer.

 (State) Dealer Registration Number _____

 Certification Number _____

 Shipment Number _____

STATE OF ISSUANCE
AMERICAN GINSENG EXPORT CERTIFICATE

This is to certify that to the best of my knowledge, the American ginseng root in this shipment consisting of:

_____ pounds _____ ounces of wild root

_____ pounds _____ ounces of cultivated root

were legally collected in accordance with State and Federal law in (State) as approved for the (current) harvest season by the Office of the Scientific Authority of The U.S. Fish and Wildlife Service of The U.S. Department of the Interior. This certification is based on permanent records of commerce in ginseng dealings as required by the State of registration.

Signature of Registered Dealer

Address of Registered Dealer

Date of Certification by Dealer

State Inspector (if required by the State)

Date of Inspection

SAMPLE

Note: Dealers must be registered in the States from which they purchase the ginseng described in the certificate.

This certificate must accompany each shipment of ginseng upon and after the first sale of the ginseng.

A Federal Export Permit is required to export wild ginseng from the United States. Artificially Propagated Plant certificates are necessary for international shipment of cultivated ginseng. These documents are available from the Wildlife Permit Office, P.O. Box 3654, Arlington, VA 22203. Apply at least 60 days prior to date of export.

A valid federal export permit or certificate of Artificial Propagation and copies of these State Certificates listing the ginseng in the shipment are required to export wild or cultivated ginseng from the U.S.

FIGURE E-1-15: Sample of a State certificate of origin for the export of wild ginseng (State issued certificate)

Appendix E: Compilation of Certificates, Permits, and Reports Related to the Special Procedures for Exporting Protected Plant Species



Appendix F

Cooperative Federal-State Phytosanitary Export Certification Program

Contents

Introduction	page-F-1-1
How a State Enters the Cooperative Program	page-F-1-1
Basic Requirements and Procedures for Nominating State Officials	page-F-1-2
Maintaining the Cooperative Program	page-F-1-4
Sample of an MOU	page-F-1-4

Introduction

The Federal and State Departments of Agriculture participate in cooperative agreements to more effectively perform phytosanitary export certification. The program is expanded to enable designated State cooperators to issue Federal phytosanitary certificates (FPC's) at interior points of origin in the United States.

To get authority to issue FPC's, a State plant regulatory agency must negotiate a Memorandum of Understanding (MOU) with Plant Protection and Quarantine (PPQ), Animal and Plant Health Inspection Service (APHIS), United States Department of Agriculture (USDA). The MOU is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the State and Federal Departments of Agriculture.

How a State Enters the Cooperative Program

To ensure a successful cooperative program for phytosanitary export certification, the following steps must be performed to officially enter the State into the Program.

1. The plant regulatory official of a State Department of Agriculture writes to the Deputy Administrator of PPQ asking to participate in the cooperative program.

2. The written request is processed through the Export Services (ES), Port Operations (PO). ES cooperates with the National Administrative Planning Staff (NAPS) to initiate an MOU between the State and PPQ. One original and three copies of the MOU are sent through the PPQ national region to the State for the plant regulatory official to sign.
3. The plant regulatory official signs all copies of the MOU and returns them to NAPS through the PPQ national region. The MOU becomes effective the day the representative of APHIS signs it. NAPS returns two copies of the MOU to the national region—one copy for the region's files and one copy is sent to the State. NAPS also gives ES a copy. If any additional copies of the MOU are needed, ES is contacted.

Basic Requirements and Procedures for Nominating State Officials

1. Under the MOU, the State is responsible for nominating State officials to be designated as cooperators, or agents, of the program. The nominees must meet or exceed the following basic requirements for the position of an agent, as listed in 7CFR 353.6:
 - ◆ In the crops they are responsible for inspecting, the nominee must have the ability to recognize plant pests, including symptoms and/or signs of disease-causing organisms of concern to importing countries.
 - ◆ The nominee must have a bachelor's degree in the biological sciences, and a minimum of 1 year's experience in identifying plant pests endemic to crops of commercial importance within the cooperating State, or a combination of higher education in the biological sciences and experience in identifying such plant pests as follows:
 - ❖ 0 years education and 5 years experience;
 - ❖ 1 years education and 4 years experience;
 - ❖ 2 years education and 3 years experience;
 - ❖ 3 years education and 2 years experience; or
 - ❖ 4 years education and 1 years experience

The years of education and experience do not have to be acquired consecutively.

- ◆ The nominee must successfully complete annual training provided by the State plant regulatory agency, as described in 7CFR 353.6.

2. The State submits a list of nominees, along with their qualifications to the responsible officer (who might be a Regional Program Manager, a Port Director (PD), or a contact point officer (CPO) who is the direct liaison with the state).
3. After reviewing the list of nominated officials to ensure that the basic requirements are met, the responsible officer forwards the list, along with the qualifications, to ES for final approval.
4. The CPO arranges for the nominated State officials to attend an export certification training course at a mutually agreeable time.
5. ES notifies the responsible officer by telephone when a nominated official is determined to be ineligible for certification as a cooperator because the basic requirements of the MOU are not met.



Training may be given to those State officials ineligible for certification. The training would provide the official with knowledge of Federal regulations that would improve their performance in issuing State phytosanitary certificates. However, they would not be certified to issue the FPC until all the basic requirements are met.

6. A designated export certification trainer presents the training and gives the exam to the nominated State officials, who must achieve a score of 80 percent or better to be certified to issue FPC's.
7. The export certification trainer notifies the Professional Development Center (PDC) of the training results following the responsibilities detailed in the Instructor Guide for Export Certification Training. **PDC is responsible for notifying ES of the training results.**
8. Those State officials who successfully complete the training are designated as cooperators and are sent a numbered letter of designation by ES.

ES will send a cover letter and two copies of the letter of designation along with a self-addressed envelope to the State plant health director (SPHD). A courtesy copy (cc) is sent to the contact point officer or other responsible officer. The SPHD notes the information, (continued) then forwards the two copies, along with the self-addressed envelope, to the State plant regulatory official (SPRO). The SPRO presents the letters and envelope to the State or county cooperator, who signs and returns one copy of the letter to ES. The State or county cooperator must return the signed copy of the letter in the envelope provided by ES.

AT THIS POINT IN THE PROCESS, STATE OFFICIALS ARE DESIGNATED COOPERATORS CERTIFIED TO ISSUE FPC'S.

Maintaining the Cooperative Program

1. ES maintains a current list of designated State cooperators. If there are questions concerning eligibility, qualifications, or designation of new State officials, direct them to ES.
2. State officials are responsible for notifying the CPO when a designated State cooperator retires or otherwise separates from State employment. The CPO is responsible for contacting ES.
3. State cooperators leaving the program and reentering it later must receive retraining before approval can be given to issue FPC's.

Sample of an MOU

An MOU is a formal document that specifies the responsibilities and areas of cooperation mutually understood and agreed to by the State and Federal Departments of Agriculture. [Figure F-1-1](#) is a sample of an MOU for all States **except** Colorado, Kentucky, and North Dakota.

Amendments to the MOU must be formally signed by the State plant regulatory official and the representative of APHIS.

APHIS Agreement # XX-XX-XX-XXXX-MU

MEMORANDUM OF UNDERSTANDING
Between the
[INSERT NAME OF COOPERATOR] (STATE)
and
THE UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (SERVICE)

ARTICLE 1 - PURPOSE

This memorandum provides for cooperative participation between the parties to perform phytosanitary export certification of plants and plant products and to expand the system of issuance of Federal plant export certificates. For the purpose of this memorandum, Federal plant export certificates are defined as Phytosanitary Certificate (PPQ form 577), Export Certificate Processed Plant Products (PPQ form 578), Phytosanitary Certificate for Re-export (PPQ form 579), and Certificate of Heat Treatment (PPQ form 553). Under the expanded system, these listed certificates will be issued at interior United States points of origin, in particular, to cover containerized and door-to-door shipments intended for export. This Memorandum enhances the ability of the Service to provide Federal phytosanitary export certification to customers.

ARTICLE 2 - BACKGROUND

Historically, phytosanitary export certification was performed at points of export by Federal Inspectors. A need arose for certification of commodities at interior points of commodity origin. Representatives of the Service and States developed a Memorandum of Understanding that provided for phytosanitary certification at interior points of the United States by Inspectors from State Departments of Agriculture.

ARTICLE 3 - AUTHORITIES

This Memorandum cancels all previous memoranda for phytosanitary export certification between the parties. APHIS is authorized by the Plant Protection Act, Sec. 431(a), Public Law 106-224, to cooperate with other Federal agencies, the governments of foreign countries, international organizations or associations, states or their political subdivisions, farmer's associations, and other persons to detect, eradicate, suppress, control, and prevent or retard the spread of plant pests or noxious weeds.

ARTICLE 4 - OBJECTIVES

This Memorandum will serve to establish the parties' responsibilities under the cooperative program, and to define in general terms the basis on which the parties concerned will cooperate.

ARTICLE 5 - MUTUAL AGREEMENT

FIGURE F-1-1: Example of a Memorandum of Understanding for the Cooperative Federal-State Phytosanitary Export Certification Program

The cooperating parties agree:

- a. Overall direction and control of this cooperative program is to be maintained by the Service. However, personnel of the State will remain administratively responsible to the State.
- b. The State shall be responsible for conducting inspection and certification in accordance with the policies, directives *and* regulations of the Service and within the scope of the law.
- c. The State will retain administrative responsibilities for its personnel certified to participate in the program.
- d. To only issue Federal plant export certificates for international commerce.

ARTICLE 6 - STATE RESPONSIBILITIES

The state Agrees:

- a. In conducting the Basic Phytosanitary Export Certification Program:
 - (1) To cooperate with the Service in the inspection and certification of plants and plant products for export.
 - (2) To nominate to the Service qualified State inspectors to perform inspection and certification work.
 - (3) That nominees for designation as inspectors under this Memorandum shall meet or exceed the basic requirements as defined in Export Certification regulations, 7CFR 353.6(b).
 - (4) To submit to the Service, for review and concurrence, the names and qualifications covering those personnel nominated for designation as inspectors.
 - (5) that State personnel authorized to issue Federal plant export certificates under this Memorandum shall participate, without cost to the Service, in an orientation and training program conducted by the Service.
- b. In conducting the Phytosanitary Field Inspection of Seed Crops Program:
 - (1) To use only those agents that meet or exceed the basic requirements as defined in Export Certification regulations, 7CFR 353.6(a).
 - (2) To provide agents with training and resources in accordance with 7CFR 353.6(a)(2).

FIGURE F-1-1: Example of a Memorandum of Understanding for the Cooperative Federal-State Phytosanitary Export Certification Program

(3) To terminate, after notification, an agent's participation in the inspection activities when the agent is identified as not following established procedures for proper recording or reporting of pest organisms found.

(4) To monitor inspection activities of designated agents during each growing season in cooperation with the Service.

ARTICLE 7 - APHIS RESPONSIBILITIES

The Service Agrees, in conducting the Basic Phytosanitary Export Certification Program:

- a. To issue a letter of designation as an inspector or agent to those qualified State or county personnel who have complied with the requirements of article 6.
- b. To conduct an orientation and training program for qualified State employees prior to designation.
- c. To provide refresher training every three years for those qualified State employees designated as inspector.
- d. To provide designated inspectors with an Export Certification Manual and such other information as is necessary and appropriate for the proper certification of products to be exported.
- e. To provide program oversight by conducting field audits of facilities and personnel to ensure conformance with APHIS regulations, policies and procedures.

ARTICLE 8 - FINANCIAL OBLIGATION

This Memorandum does not constitute a financial obligation to serve as a basis for expenditures. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum. No transfer of Federal funds will be involved under this Memorandum.

ARTICLE 9 - LIMITATION OF COMMITMENT

The responsibilities assumed by each of the cooperating parties are contingent upon funds being available from which the expenditures may legally be met. This Memorandum and any continuation thereof shall be contingent upon the availability of funds appropriated by the congress of the United States. It is understood and agreed that any moneys allocated for purposes covered by this Memorandum shall be expended in accordance with its terms and in the manner prescribed by the fiscal regulations and/or administrative policies of the party making the funds available. If fiscal resources are to transfer, a separate agreement must be developed by the parties.

FIGURE F-1-1: Example of a Memorandum of Understanding for the Cooperative Federal-State Phytosanitary Export Certification Program

ARTICLE 10 - CONGRESSIONAL RESTRICTION

Under 41USC 22, no member of or delegate to, or Commissioner appointed by Congress shall be permitted to share in any part of this Memorandum or to derive benefit from it, unless the sharing and benefit was made for the benefit of the general public.

ARTICLE 11 - AMENDMENTS

This Memorandum may be amended at any time by mutual agreement of the parties in writing.

ARTICLE 12 - TERMINATION

This Memorandum may be terminated by either party upon thirty (30) days written notice to the other party.

ARTICLE 13 - EFFECTIVE DATE AND DURATION

This Memorandum of Understanding will be in effect upon date of final signature and will continue for 5 years from that date.

XXXXXXXXXX STATE DEPARTMENT OF AGRICULTURE

Date

**UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE**

Date

FIGURE F-1-1: Example of a Memorandum of Understanding for the Cooperative Federal-State Phytosanitary Export Certification Program

MEMORANDUM OF UNDERSTANDING PHYTOSANITARY EXPORT CERTIFICATION	
NORTHEASTERN REGION	
Connecticut Agriculture Experiment Station	12-34-82-0006-MU
Delaware Department of Agriculture	
Illinois Department of Agriculture	
Indiana Department of Natural Resources	
Maine Department of Agriculture	
Maryland Department of Agriculture	
Massachusetts Department of Agriculture	
Michigan Department of Agriculture	12-34-82-0005-MU
Minnesota Department of Agriculture	
New Hampshire Department of Agriculture	
New Jersey Department of Agriculture	
New York Department of Agriculture and Markets	
Ohio Department of Agriculture	
Pennsylvania Department of Agriculture	
Rhode Island Department of Natural Resources	
Vermont Department of Agriculture	
Virginia Department of Agriculture and Commerce	
West Virginia Department of Agriculture	
Wisconsin Department of Agriculture	
SOUTHEASTERN REGION	
Florida Department of Agriculture and Consumer Services	
Georgia Department of Agriculture	
Kentucky, University of; College of Agriculture	
Kentucky, University of; College of Agriculture (Seed Crops)	
Mississippi Department of Agriculture and Commerce	
North Carolina Department of Agriculture	
South Carolina Crop Pest Commission	
Tennessee Department of Agriculture	

FIGURE F-1-2: List of States with active Memorandums of Understanding (MOU's)

SOUTH CENTRAL REGION	
Arkansas State Plant Board	
Iowa Department of Agriculture	
Kansas State Board of Agriculture	
Louisiana Department of Agriculture	
Missouri Department of Agriculture	
Nebraska Department of Agriculture	
Oklahoma Department of Agriculture	
Texas Department of Agriculture	
WESTERN REGION	
Alaska Department of Agriculture	
Arizona Department of Agriculture	12-34-85-0027-MU
California Department of Food and Agriculture	
Colorado Department of Agriculture	
Idaho Department of Agriculture	12-34-85-0077-MU
Montana Department of Agriculture	
New Mexico Department of Agriculture	
Nevada Department of Agriculture	12-34-85-0154-MU
North Dakota Department of Agriculture	
North Dakota State Seed Department	12-34-85-0003-MU
Oregon Department of Agriculture	12-34-85-0042-MU
South Dakota Department of Agriculture	
Utah Department of Agriculture	
Washington Department of Agriculture	
Wyoming Department of Agriculture	12-34-85-0002-MU

FIGURE F-1-2: List of States with active Memorandums of Understanding (MOU's)



Appendix G

Mill Certification Programs for Coniferous Sawn Wood

Contents

Introduction [page-G-1-1](#)

MOU for the Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Moving to European Union (EU) Member States [page-G-1-2](#)

Responsibilities of the Lumber Grading Agency, the Mill, and Plant Protection and Quarantine (PPQ): [page-G-1-3](#)

Kiln Drying MOU's [page-G-1-8](#)

Debarking and Grub Hole Control of Coniferous Sawn Wood MOU's [page-G-1-14](#)

Introduction

Coniferous sawn wood is an important export from the United States. However, it is highly regulated because of various pests, including the pine wood nematode, *Bursaphelenchus xylophilus*. To facilitate exports of this material, and to address the phytosanitary concerns of the importing country, APHIS has initiated Memorandums of Understanding (MOU's) with a number of lumber grading agencies. These MOU's establish how the wood will be inspected and treated at the mill and the type of documentation that the mill will supply to PPQ for phytosanitary certification of the shipments. Two of the MOU's, the Mill Certification Program for Coniferous Sawn Wood using Heat Treatment Certification and the MOU for Debarking and Grub Hole Control of Coniferous Sawn Wood eliminate the need for phytosanitary certification of the product and allows participating mills to issue their own certification for kiln dried conifer lumber destined to European Union (EU) member states. Currently, the Mill Certification Programs for Coniferous Sawn Wood use the following MOU's:

- ◆ [Figure G-1-1, "Example of the MOU for The Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Moving to European Union \(EU\) Countries," on page-G-1-6](#)
- ◆ [Figure G-1-3, "Example of the MOU for kiln dried coniferous sawn wood," on page-G-1-12](#)
- ◆ [Figure G-1-5, "Example of the MOU for Debarking and Grub Hole Control of Coniferous Sawn Wood," on page-G-1-18](#)
- ◆ [Figure G-1-8, "Sample of a Biannual Audit Checklist for the Wood Mill Certification Programs," on page-G-1-23](#)

This Appendix contains an overview of each type of MOU; a brief description of the responsibilities of each party under the MOU; lists of participating lumber grading agencies; examples of each type of MOU currently in use; and examples of certificates that are used by participating lumber grading agencies and mills.

MOU for the Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Moving to European Union (EU) Member States

Overview:

This program is the most widespread of the mill certification programs. It provides an industry certification system that is officially approved to meet EU requirements for coniferous wood from the United States.

Official control of the program is maintained through a MOU between Plant Protection and Quarantine (PPQ) and lumber grading agencies certified by the American Lumber Standards Committee (ALSC)—an agent of the National Institute of Standards and Technology, U.S. Department of Commerce. (See [Table G-1-1](#) for a list of lumber grading agencies certified by ALSC and participating in this program.) The participating lumber grading agencies formulate, publish, and maintain grading rules. Also, they provide inspection facilities for softwood under the provisions of the American Softwood Lumber Standard.

Lumber exported under this program must be accompanied by a mill certificate, entitled “Heat Treatment Certification Using a Kiln Facility,” attesting that the wood has been properly heat treated. (See [Figure G-1-2](#) for an example of this certificate.) Only sawn wood that has been kiln dried according to rules of ALSC may be exported under this program.

Wood from mills that are not participating in the mill certification program may be certified to EU member states with a Federal Phytosanitary Certificate (FPC) if it meets the criteria specified in EXCERPT.

Advise exporters that shipments may be rejected or destroyed at destination if the wood has not been sawn or kiln dried and heat treated and not accompanied by the proper certificate.

Responsibilities of the Lumber Grading Agency, the Mill, and Plant Protection and Quarantine (PPQ):

When an MOU is entered into, each party has stipulated responsibilities. The following are the responsibilities of the lumber grading agency, the participating mill, and PPQ under the MOU.

1. The Lumber Grading Agency

- ❖ Maintains signed agreements with participating mills.
- ❖ Maintains names of representatives approved to issue mill certificates and maintains copies of all certificates issued.
- ❖ Provides mill inspector training to all participating mills.
- ❖ Validates each certificate issued by a subscriber mill.
- ❖ Conducts monthly reviews of the certification program through regular quality control checks.

2. The Participating Lumber Mill

- ❖ Treats all shipments of coniferous wood to the EU according to the American Softwood Lumber Standard for heat treated or kiln dried wood.
- ❖ Designates personnel to complete the forms for “Heat Treatment Certification Using a Kiln Facility.”
- ❖ Forwards certificates to the lumber grading agency for final review and validation.

3. The PPQ Regional Offices

MOU's should be maintained in the region.

Monitor the certification program for conformance by randomly inspecting participating mills and the wood at points of export and by reviewing the files and records of the lumber grading agency.

The appropriate PPQ Regional office must designate a person to oversee the auditing of this program. Audits of the program must be conducted biannually for each lumber grading agency for which an MOU is signed and their participating companies. A form similar to the sample shown in [Figure G-1-8 on page-G-1-23](#) must be completed and submitted to the Export Unit in Riverdale, Maryland. This information will be used to support this program when foreign countries question the validity of the process. The audit process would entail meeting with each Agency and selected companies that are registered with them under this program and review documentation. In addition, checks should be made of participating companies to

ensure that products being shipped meet the conditions of the program. This can be done either at the company or at the port of export. MOU's will be maintained in the Regions.

Lumber Grading Agencies:

See [Table G-1-1](#) for a list of lumber grading agencies certified by ALSC and maintaining MOU's with PPQ.

TABLE G-1-1: Lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for heat treatment of coniferous sawn wood.

Lumber Grading Agency:	Agency Contact:
Northeast Region	
Northeastern Lumber Manufacturer's Association, Inc. 272 Tuttle Road Cumberland Center, ME 04021	Jeff Easterling Executive Vice President (207) 829-6901 FAX: (207) 829-4293
Southeast Region	
Renewable Resource Associates, Inc. 3091 Chaparral Place Lithonia, GA 30038	Lon J. Sibert President (404) 482-9385 (phone-fax-voice) James E. Loy
Southern Pine Inspection Bureau 4709 Scenic Highway Pensacola, FL 32504	Tom S. Jones President (850) 434-2611 FAX: (850) 433-5594
Timber Products Inspection, Inc. P.O. Box 919 Conyers, GA 30207	Ronald Williams or Debby Grover Lumber Division East (770) 922-8000 FAX: (770) 922-1290
Western Region	
California Lumber Inspection Service P.O. Box 6989 San Jose, CA 95150	George Reinking Vice President & General Mgr. (408) 993-1633 FAX: (408) 246-5415

TABLE G-1-1: Lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for heat treatment of coniferous sawn wood. (continued)

Lumber Grading Agency:	Agency Contact:
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, No. 200 Novato, CA 94949	Christopher Grover Executive Vice President (415) 382-0662 FAX: (415) 382-8531
Pacific Lumber Inspection Bureau Inc. P.O. Box 7235 Bellevue, WA 98008	Jeff Fantozzi Secretary/Manager (253) 835-3344 FAX: (253) 746-5522
West Coast Lumber Inspection Bureau Box 23145 Portland, OR 97281-3145	Jim Neeber Executive Vice President (503) 639-0651 FAX: (503) 684-8928
Western Wood Products Association 522 SW Fifth Avenue Portland, OR 97220	Jim Matthews Assistant Director of Quality Standards (503) 224-3930 FAX: (503) 224-3934
Timber Products Inspection, Inc. 105 SE 124th Avenue Vancouver, WA 98684	Casey Dean Chief Lumber Inspector (360) 449-3138 FAX: (360) 449-3953

Memorandum of Understanding:

See [Figure G-1-1](#) for an example of the MOU for The Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Moving to European Union (EU) Countries.

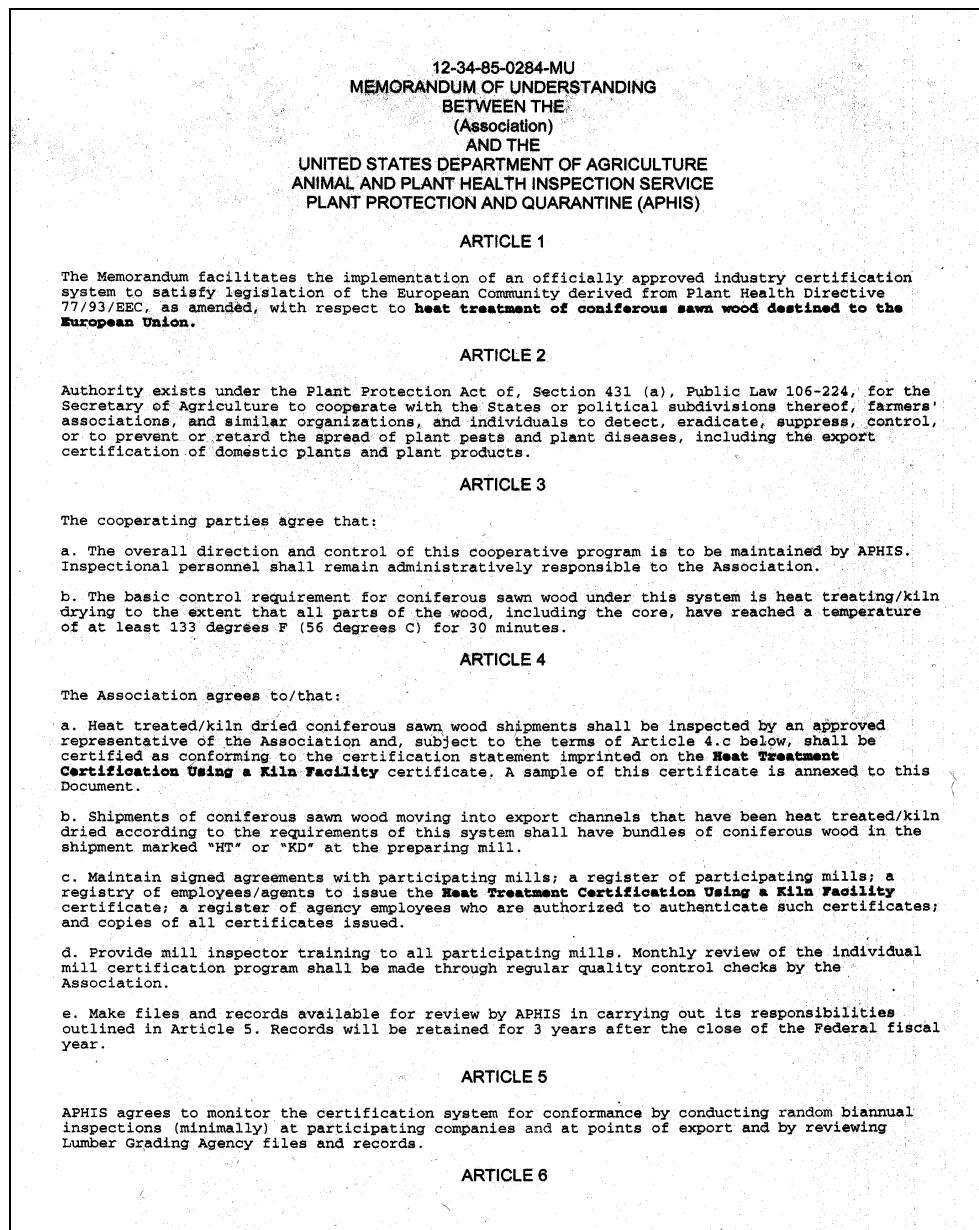


FIGURE G-1-1 Example of the MOU for The Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Moving to European Union (EU) Countries

Appendix G: Mill Certification Programs for Coniferous Sawn Wood
Responsibilities of the Lumber Grading Agency, the Mill, and Plant Protection and Quarantine (PPQ):

<p>This Memorandum is to define in general terms the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.</p> <p style="text-align: center;">ARTICLE 7</p> <p>Pursuant to Section 22, Title 41, United States Code, no member of or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise therefrom.</p> <p style="text-align: center;">ARTICLE 8</p> <p>This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of both parties or by either party upon 30 days written notice to the other party.</p> <p>ASSOCIATION (LUMBER GRADING AGENCY NAME) (NAME AND TITLE OF AGENCY REPRESENTATIVE)</p> <p>_____</p> <p style="text-align: right;">(Signature) Date</p> <p>UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE</p> <p>_____</p> <p style="text-align: right;">(Regional Director) Date</p>

FIGURE G-1-1: Example of the MOU for The Mill Certification Program for Heat Treatment of Coniferous Sawn Wood Moving to European Union (EU) Countries

Lumber Grading Certificate:

See [Figure G-1-2](#) for an example of a certificate for Heat Treatment Certification Using a Kiln Facility.


 HEAT TREATMENT CERTIFICATION USING A KILN FACILITY		<small>CERTIFICATE NUMBER</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
<small>NAME AND ADDRESS OF SUPPLYING MILL (or as provided in description of consignment)</small> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>		<small>NAME AND ADDRESS OF CONSIGNEE</small> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	
<small>The lumber described below is certified to have undergone an appropriate heat treatment to achieve a minimum wood core temperature of 56 degrees C for 30 minutes.</small>			
<small>DESCRIPTION OF CONSIGNMENT</small> <small>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT.</small>		<small>VOLUME</small> <div style="border: 1px solid black; height: 150px; width: 100%;"></div>	
<small>This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to preshipment inspection by that Agency. No financial liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.</small>			
<small>AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION</small>			
<small>NAME (Print)</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<small>SIGNATURE</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<small>TITLE</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<small>DATE</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<small>AGENCY VALIDATION</small>			
<small>AUTHORIZED SIGNATURE</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>		<small>TITLE</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<small>DATE</small> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

FIGURE G-1-2: Sample of a certificate for Heat Treatment Certification Using a Kiln Facility

Kiln Drying MOU's

Overview:

Grading agencies listed in [Table G-1-2](#) have MOU's with APHIS to facilitate certification of kiln dried lumber going to non-EU countries. These MOU's are similar to the EU MOU's discussed in the **Mill**

Certification Program for Coniferous Sawn Wood Moving to European Union Countries

in that only kiln dried wood is covered. That is to say, wood that has been heat treated or merely debarked is not authorized under this MOU format. However, ALL SHIPMENTS CERTIFIED UNDER THESE MOU's MUST HAVE MILL CERTIFICATES THAT ARE VALIDATED BY THE LUMBER GRADING AGENCY AND THESE MILL CERTIFICATES MUST BE PRESENTED TO PPQ FOR CONVERSION TO PHYTOSANITARY CERTIFICATES. (See [Figure G-1-3](#) for an example of this MOU and [Figure G-1-4](#) for a sample of the Certificate of Kiln Drying.)

Responsibilities of the Grading Agency, the Mill, and Plant Protection and Quarantine (PPQ):

1. The Lumber Grading Agency–The grading agency responsibilities are essentially the same as those shown in Mill Certification Program for Coniferous Sawn Wood Moving to European Union Countries except that the agency returns the mill certificate to the mill for conversion to a Federal Phytosanitary Certificate (FPC). The grading agencies have the following responsibilities:
 - ❖ Maintains signed agreements with participating mills.
 - ❖ Maintains names of representatives approved to issue mill certificates and maintains copies of all certificates issued.
 - ❖ Provides mill inspector training to all participating mills.
 - ❖ Validates each certificate issued by a subscriber mill.
 - ❖ Conducts monthly reviews of the certification program through regular quality control checks.
 - ❖ Returns validated certificates to the mill for conversion to FPC's by PPQ.
2. The Participating Lumber Mill
 - ❖ Certifies shipments of kiln dried coniferous wood being exported to non-European Union countries using a mill certificate of kiln drying.
 - ❖ Designates personnel to complete the “Mill Certificate of Kiln Drying.”
 - ❖ Forwards completed mill certificates to the lumber grading agency for final review and validation.
 - ❖ Presents the validated mill certificate for conversion to an FPC by PPQ.

3. The PPQ Port Offices

- ❖ Reviews the validated certificates presented by the mills.
- ❖ Verifies that the grading agency is participating in the mill certification program.
- ❖ Issues FPC's for those shipments covered by properly validated mill certificates.
- ❖ Keeps the validated mill certificate as the supporting document for the FPC.

4. PPQ Regional Office

- ❖ Monitor the certification program for conformance by randomly inspecting participating mills and the wood at points of export and by reviewing the files and records of the lumber grading agency.
- ❖ MOU's will be maintained in the Region. The appropriate PPQ Regional office must designate a person to oversee the auditing of this program. Audits of the program must be conducted biannually for each lumber grading agency for which an MOU is signed and their participating companies. A form similar to the sample shown in [Figure G-1-8 on page-G-1-23](#) must be completed and submitted to Export Services in Riverdale, Maryland. This information will be used to support this program when foreign countries question the validity of the process. The audit process would entail meeting with each Agency and selected companies that are registered with them under this program and review documentation. In addition, checks should be made of participating companies to ensure that products being shipped meet the conditions of the program. This can be done either at the company or at the port of export.

Lumber Grading Agencies:

See [Table G-1-2](#) for a list of lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for Kiln Drying

TABLE G-1-2: Lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for Kiln Drying

Lumber Grading Agency:	Agency Contact:
California Lumber Inspection Service P.O. Box 6989 San Jose, CA 95150	George Reinking Vice President & General Mgr. (408) 993-1633 FAX: (408) 993-1642
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, No 200 Novato, CA 94949	Christopher Grover Executive Vice President (415) 382-0662 FAX: (415) 382-8531
Pacific Lumber Inspection Bureau Inc. P.O. Box 7235 Bellevue, WA 98008	Jeff Fantozzi Secretary/Manager (253) 835-3344 FAX: (253) 746-5522
West Coast Lumber Inspection Bureau Box 23145 Portland, OR 97281-3145	Jim Neeber Executive Vice President (503) 639-0651 FAX: (503) 684-8928
Western Wood Products Association 522 SW Fifth Avenue Portland, OR 97220	Jim Matthews Assistant Director of Quality Standards (503) 224-3930 FAX: (503) 224-3934
Timber Products Inspection, Inc. 105 SE 124th Avenue Vancouver, WA 98684	Casey Dean Chief Lumber Inspector (360) 449-3138 FAX: (360) 449-3953

Memorandum of Understanding:

See [Figure G-1-3](#) for an example of the MOU for kiln dried coniferous sawn wood.

12-34-8x-xxx-MU
MEMORANDUM OF UNDERSTANDING
BETWEEN THE
(Association)
AND THE
UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE (APHIS)

ARTICLE 1

The Memorandum facilitates the implementation of an officially approved industry certification system to provide an alternative basis for the Federal phytosanitary certification of **kiln dried coniferous sawn wood**. This program does not apply to European Union (EU) member states.

ARTICLE 2

Authority exists under the Plant Protection Act of, Section 431 (a), Public Law 106-224, for the Secretary of Agriculture to cooperate with the States or political subdivisions thereof, farmers' associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products:

ARTICLE 3

The cooperating parties agree that:

a. The overall direction and control of this cooperative program is to be maintained by the Service. Inspectional personnel shall remain administratively responsible to the Association.

b. The basic control requirement for coniferous sawn wood under this system is kiln drying to the extent that all parts of the wood have reached a temperature of at least 160 degrees F (71 degrees C) and the moisture content of the wood has been reduced to less than 20 percent by weight.

ARTICLE 4

The Association agrees to/that:

a. Kiln dried coniferous sawn wood shipments shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c below, shall be certified as conforming to the certification statement imprinted on the **Mill Certificate of Kiln Drying**. A sample of this certificate is annexed to this document.

b. Shipments of coniferous sawn wood moving into export channels that have been kiln dried according to the requirements of this system shall have bundles of coniferous wood in the shipment marked "KD" or "kiln dried" at the preparing mill.

c. Maintain signed agreements with participating mills; a register of participating mills, including names of representatives approved to issue **Mill Certificates of Kiln Drying**; and copies of all certificates issued.

d. Provide mill inspector training to all participating mills. Monthly review of the individual mill certification program shall be made through regular quality control checks by the Association.

e. Make files and records available for review by APHIS in carrying out its responsibilities outlined in Article 5. Records will be retained for 3 years after the close of the Federal fiscal year.

ARTICLE 5

APHIS agrees to monitor the certification system for conformance by conducting random biannual inspections (minimally) at participating companies and at points of export and by reviewing Lumber Grading Agency files and records.

ARTICLE 6

FIGURE G-1-3: Example of the MOU for kiln dried coniferous sawn wood

This Memorandum is to define in general terms the basis on which the parties concerned will cooperate and, as such, does not constitute a financial obligation on the part of APHIS. Each signatory party is to use and manage its own funds in carrying out the purpose of this Memorandum.

ARTICLE 7

Pursuant to Section 22, Title 41, United States Code, no member of or delegate to Congress shall be admitted to any share or part of this Memorandum or to any benefit to arise therefrom.

ARTICLE 8

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of both parties or by either party upon 30 days written notice to the other party.

ASSOCIATION
(LUMBER GRADING AGENCY NAME)
(NAME AND TITLE OF AGENCY REPRESENTATIVE)

(Signature) Date

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE
PLANT PROTECTION AND QUARANTINE

Regional Director Date

FIGURE G-1-3: Example of the MOU for kiln dried coniferous sawn wood

Lumber Grading Certificates:

See [Figure G-1-4](#) for a sample of a certificate for kiln drying.

MILL CERTIFICATE OF KILN DRYING		CERTIFICATE NUMBER
NAME AND ADDRESS OF SUPPLYING MILL	NAME AND ADDRESS OF CONSIGNEE	
<small>The lumber described below is certified to have been kiln dried to the extent that all parts of the wood have reached a temperature of at least 160 degrees F. (71 degrees C.) and the moisture content is less than 20 percent.</small>		
<small>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT (Lot number and volume are required).</small>	VOLUME	
Mill Order No. : _____ Invoice No. : _____ Customer No. : _____	Number of Bundles : _____ Marks on Bundles : _____ Vessel : _____	
<small>This document is issued under a program officially approved by the Animal and Plant Health Inspection Service, U.S. Department of Agriculture. The products covered by this document are subject to pre-shipment inspection by that Agency. No liability shall be attached to the U.S. Department of Agriculture or to any officer or representative of the Department with respect to this certificate.</small>		
AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION		
NAME(Print)	SIGNATURE	TITLE
		DATE
AGENCY VALIDATION		
AUTHORIZED SIGNATURE	TITLE	DATE

FIGURE G-1-4: Sample of a Mill Certificate of Kiln Drying

Debarking and Grub Hole Control of Coniferous Sawn Wood MOU's

Overview:

Mills participating in this program may certify air dried coniferous sawn wood or kiln dried sawn wood of Thuja species destined to European Union (EU) member states only. (See [Table G-1-3](#) for a list of lumber grading agencies participating in this program.) This program allows for the Certificate of Debarking and Grub Hole Control to be issued for wood shipments of Thuja species only and that are destined to the European Union member states. Air dried wood must

have mill certification that it is free from bark and grub holes larger than 3 mm in diameter. (See [Figure G-1-7](#) for a sample of the Certificate for Debarking and Grub Hole Control.)

Responsibilities of the Lumber Grading Agency, the Mill, and Plant Protection and Quarantine (PPQ):

- 1. The Lumber Grading Agency–**
 - ❖ Maintains signed agreements with participating mills
 - ❖ Maintains names of representatives approved to issue mill certificates and maintains copies of all certificates issued.
 - ❖ Provides mill inspector training to all participating mills.
 - ❖ Validates each certificate issued by a subscriber mill.
 - ❖ Conducts monthly reviews of the certification program through regular quality control checks.
- 2. The Participating Lumber Mill–**
 - ❖ Inspects shipments of unseasoned or air-dried coniferous sawn wood and certifies the wood as meeting the requirements of the foreign country using a mill certification of debarking and grub hole control.
 - ❖ Designates personnel to complete the “Certificate of Debarking and Grub Hole Control”
 - ❖ Forwards completed certificates to the lumber grading agency for final review and validation.
- 3. The PPQ Port Offices–**
 - ❖ Reviews the validated certificates presented by the mills.
 - ❖ Verifies that the grading agency is participating in the mill certification program.
- 4. PPQ Regional Office–**
 - ❖ It is the responsibility of the Regional Offices to monitor the certification program for conformance by randomly inspecting participating mills and the wood at points of export and by reviewing the files and records of the lumber grading agency.
 - ❖ The appropriate PPQ Regional office must designate a person to oversee the auditing of this program. Audits of the program must be conducted biannually for each lumber grading agency for which an MOU is signed and their participating companies. MOU's must be on file and maintained in the regional offices. A form similar to the sample shown in [Figure G-1-8 on page-G-1-23](#) must be completed and submitted to Export Services in Riverdale, Maryland. This information will be used to support this program when

foreign countries question the validity of the process. The audit process would entail meeting with each Agency and selected companies that are registered with them under this program and review documentation. In addition, checks should be made of participating companies to ensure that products being shipped meet the conditions of the program. This can be done either at the company or at the port of export.

Lumber Grading Agencies:

See [Table G-1-3](#) for a list of lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for Kiln Drying, Debarking and Grub Hole Control.

TABLE G-1-3: Lumber grading agencies certified by ALSC and maintaining MOU's with PPQ for Kiln Drying, Debarking and Grub Hole Control

Lumber Grading Agency:	Agency Contact:
Western Region:	
California Lumber Inspection Service P.O. Box 6989 San Jose, CA 95150	George Reinking Vice President & General Manager (408) 993-1633 FAX: (408) 993-1642
California Redwood Association and Redwood Inspection Service 405 Enfrente Drive, No. 200 Novato, CA 94949	Christopher Grover Executive Vice President (415) 382-0662 FAX: (415) 382-8531
Pacific Lumber Inspection Bureau Inc. P.O. Box 7235 Bellevue, WA 98008	Jeff Fantozii Secretary/Manager (206) 747-6542 FAX: (206) 746-5522
West Coast Lumber Inspection Bureau Box 23145 Portland, OR 97281-3145	Jim Neeber Executive Vice President (503) 639-0651 FAX: (503) 684-8928
Western Wood Products Association 522 SW Fifth Avenue Portland, OR 97220	Jim Matthews Assistant Director of Quality Standards (503) 224-3930 FAX: (503) 224-3934
Timber Products Inspection, Inc. P.O. Box 20455 Portland, OR 97220	Casey Dean Chief Lumber Inspector (503) 254-0204 FAX: (503) 252-9267

Memorandum of Understanding:

See for an example of the MOU for Debarking and Grub Hole Control of Coniferous Sawn Wood.

<p style="text-align: center;">MEMORANDUM OF UNDERSTANDING BETWEEN THE (ASSOCIATION) AND THE UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE</p> <p style="text-align: center;">Relative to</p> <p style="text-align: center;">Preparation and Certification of Coniferous Sawn Wood of Thuja spp. Intended for Export to the European Union (EU) Member States</p> <p style="text-align: center;">ARTICLE I</p> <p>The object of this Memorandum is to facilitate the implementation of an officially approved industry certification system to satisfy provisions of the national legislation of Member States of the European Community (EU) derived from Plant Health Directive 77/93/EEC, as amended, with respect to freedom from bark and grub holes on coniferous sawn wood originating in the United States. This program is applicable to Member States of the EU and to coniferous lumber pertaining to Thuja spp. only.</p> <p style="text-align: center;">ARTICLE 2</p> <p>This Memorandum is entered into by the Service by virtue of authority included in the Plant Protection Act of, Section 431 (a) Public Law 106-224 , to cooperate with the States or political subdivision thereof, farmer's associations, and similar organizations, and individuals to detect, eradicate, suppress, control, or to prevent or retard the spread of plant pests and plant diseases, including the export certification of domestic plants and plant products.</p> <p style="text-align: center;">ARTICLE 3</p> <p>The cooperating parties agree:</p> <p style="margin-left: 40px;">a. That overall direction and control of this cooperative program is to be maintained by the Service. Inspection personnel shall remain administratively responsible to the Association.</p> <p style="margin-left: 40px;">B. That the basic control requirement for coniferous sawn wood (Thuja spp only), including spacers or other attached dunnage, is freedom from bark and grub holes larger than 3mm across associated with shipments, but the following conditions, if existing, shall not disqualify a shipment from certification:</p> <p style="margin-left: 80px;">(1) Waney edges from which external bark has otherwise been totally removed:</p> <p style="margin-left: 80px;">(2) ingrown bark, in particular, around knots;</p>

FIGURE G-1-5 Example of the MOU for Debarking and Grub Hole Control of Coniferous Sawn Wood

(3) bark/pitch pockets, as described in the National Grading Rules;

(4) holes caused by Teredo worms (marine mollusks).

ARTICLE 4

The Association agrees:

a. That unseasoned or air-dried coniferous sawn wood shipments, if not otherwise covered by a phytosanitary certificate, shall be inspected by an approved representative of the Association and, subject to the terms of Article 4.c below, shall be certified as meeting the wood control requirements of the importing country. A sample of a mill certificate of debarking and grub hole control is annexed to this document.

b. To maintain signed agreements with participating mills and to maintain a register of participating mills including names of representatives approved to issue mill certificates of debarking and grub hole control and copies of all certificates issued.

c. To provide mill inspector training to all participating mills. Monthly reviews of the individual mill certification program shall be made through regular quality control checks by the Association.

ARTICLE 5

The Service agrees:

a. To conduct an orientation program for designated mill inspectors on the plant health requirements of receiving countries pertaining to coniferous wood.

b. To monitor the certification system for conformance via random inspection at participating mills, points of export, and review of Association files and records.

ARTICLE 6

This Memorandum is to define in general terms the basis on which the parties concerned will cooperate, and as such, does not constitute a financial obligation to serve as a basis for expenditures. No transfer of Federal funds shall be involved under this Memorandum.

ARTICLE 7

This Memorandum shall become effective upon date of final signature and shall continue in effect for 5 years. It may be amended at any time by mutual agreement between the parties in writing and may be terminated by mutual agreement of both parties or by either party upon 30 days written notice to the other party.

FIGURE G-1-5: Example of the MOU for Debarking and Grub Hole Control of Coniferous Sawn Wood

ASSOCIATION (LUMBER GRADING AGENCY NAME) (NAME AND TITLE OF AGENCY REPRESENTATIVE)	
_____	(Signature) Date
UNITED STATES DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE	
_____	(Regional Director) Date

FIGURE G-1-5: Example of the MOU for Debarking and Grub Hole Control of Coniferous Sawn Wood

Lumber Grading Certificates:

See [Figure G-1-6](#) for a sample of a Mill Certificate for Kiln Drying.

MILL CERTIFICATE OF KILN DRYING		CERTIFICATE NUMBER	
NAME AND ADDRESS OF SUPPLYING MILL		NAME AND ADDRESS OF CONSIGNEE	
<p>The lumber described below is certified to have been kiln dried to the extent that all parts of the wood have reached a temperature of at least 160 degrees F (71 degrees C) and the moisture content is less than 20 percent.</p>			
DESCRIPTION OF CONSIGNMENT			VOLUME
<p>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT. (Lot number and volume are required.)</p>			
<p>Mill Order No.: _____</p> <p>Invoice No.: _____</p> <p>Customer No.: _____</p>		<p>Number of Bundles: _____</p> <p>Marks on Bundles: _____</p> <p>Vessel: _____</p>	
<p>This document is to be surrendered to a representative of the Animal and Plant Health Inspection Service prior to export of the product. This document is not valid for use in International Commerce.</p>			
AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION			
NAME(Print)	SIGNATURE	TITLE	DATE
AGENCY VALIDATION			
AUTHORIZED SIGNATURE		TITLE	DATE

FIGURE G-1-6: Sample of a Mill Certificate of Kiln Drying

See [Figure G-1-7](#) for a sample of a Certificate of Debarking and Grub Hole Control.

Appendix G: Mill Certification Programs for Coniferous Sawn Wood
Debarking and Grub Hole Control of Coniferous Sawn Wood MOU's

CERTIFICATE OF DEBARKING AND GRUB HOLE CONTROL		CERTIFICATE NUMBER
NAME AND ADDRESS OF SUPPLYING MILL	NAME AND ADDRESS OF CONSIGNEE (Optional)	
DESCRIPTION OF CONSIGNMENT <small>INDICATE SPECIES, GRADE MARKS, OR OTHER IDENTIFYING MARKS. ALSO, INDICATE NUMBER OF PACKAGES AND BOARD FEET/CUBIC METERS BY LOT (Lot number and volume are required).</small>		VOLUME
<small>The lumber in this shipment has been examined by a mill inspector or other authorized person and found to have been stripped of its bark and to be free of grub holes; and, to the best of his/her knowledge and belief, to be in conformance with the import requirements of the receiving country.</small>		
<small>This document is to be surrendered to a representative of the Animal and Plant Health Inspection Service prior to export of the product. This document is not valid for use in International Commerce.</small>		
AUTHORIZED PERSON RESPONSIBLE FOR CERTIFICATION		
NAME (Print)	SIGNATURE	TITLE
		DATE
AGENCY VALIDATION		
AUTHORIZED SIGNATURE		DATE

FIGURE G-1-7: Sample of a Certificate of Debarking and Grub Hole Control

Biannual Audit Checklist for the Wood Mill Certification Programs:

See [Figure G-1-8](#) for an example of a Biannual Audit Checklist for the Wood Mill Certification Programs.

BIANNUAL AUDIT CHECKLIST FOR THE WOOD MILL CERTIFICATION PROGRAMS			
DATE OF AUDIT: _____			
AGENCY or MILL AUDITED/address: _____ _____ _____	MOU(s) Audited	(check)	
	Coniferous Sawn Wood for Heat Treatment Moving to European Union (EU)	<input type="checkbox"/>	
	Kiln Drying MOU	<input type="checkbox"/>	
CONTACT PERSON/ phone number: _____ _____	Debarking, and Grub Hole Control of Thuja sp to European Union (EU)	<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
AUDIT RESULTS:			
	Yes	No	N/A
Agency maintains the signed agreements (MOU's) with the participating mills:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency maintains a list of participating mills and their representatives that are approved to issue mill certificates:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintains copies of all certificates issued:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training provided to mill inspectors:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency maintains a list of Lumber Grading Agency employees eligible to validate mill certificates:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Agency completes monthly review of the Certification Programs:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Milled products shipped meet conditions of the programs:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS: _____ _____ _____ _____ _____			
AUDITOR's SIGNATURE: _____ DATE: _____			
PRINT NAME: _____ OFFICE: _____			

FIGURE G-1-8: Sample of a Biannual Audit Checklist for the Wood Mill Certification Programs



Appendix H

Issuing Compliance Agreements (PPQ Form 519) With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton

Contents

Introduction [page-H-1-1](#)

Introduction

Because there is little or no risk of spreading plant pests internationally through the movement of compressed, baled cotton, establishments which operate cotton compresses and warehouses may perform phytosanitary inspection of compressed, baled cotton when operating under a compliance agreement. This appendix details the criteria to be covered when writing a compliance agreement for cotton compresses or warehouses.

The compliance agreement must include the following minimal criteria, but you are free to include any additional requirements:

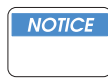
- 1.** The compresses or warehouses must provide uniform universal density compressed, baled cotton.
- 2.** Visually inspect each shipment to ensure that the bales are free from the following:
 - ❖ Living insects
 - ❖ Cottonseed
 - ❖ Soil
 - ❖ Other contaminants



It is important to insist on absolute freedom from the above named objects because cotton industry representatives will probably not possess sufficient knowledge, ability, or authority to differentiate between quarantine, injurious, and innocuous organisms/objects.

3. Load clearly marked bales which have been segregated from flat cotton (uncompressed to universal density) into clean containers.
4. Maintain a file of shipping documents showing the following:
 - ❖ Number of bales
 - ❖ Marks
 - ❖ Signature of the manager or authorized representative

Make this file available on request to USDA, APHIS, PPQ employees or State plant regulatory officials (SPRO's).



Some PPQ and/or State regulatory officials may prefer the establishment to use PPQ Form 572 "Application for Inspection and Certification of Domestic Plants and Plant Products for Export" in addition to the compress/warehouse records. When using PPQ Form 572, the exporter in cooperation with the compress/warehouse must complete items 12 through 17 on PPQ Form 572. (See [page-2-4-1](#) for other uses of compliance agreements.)

5. Contact PPQ or SPRO's prior to an exported shipping date and present the supporting data necessary to complete a Federal phytosanitary certificate.
6. Allow periodic inspection of the operation and facilities by PPQ or SPRO's to ensure all elements of the compliance agreement are being satisfied.

See [Figure H-1-1](#) for an example of a completed Compliance Agreement (PPQ Form 519).

Appendix H: Issuing Compliance Agreements (PPQ Form 519) With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton

FRESNO COUNTY DEPARTMENT OF AGRICULTURE COMMODITY TREATMENT COMPLIANCE AGREEMENT	
(Company Name)	(Chamber Location)
(Mailing Address)	(City/State/Zip code)
(City/State/Zip code)	() (Phone Number)
Regulated Articles Handled: _____	
<p>I/WE agree that in authorizing and participating in these treatments as a basis for the certification of regulated articles, no liability shall be attached either to the State of California, Department of Food and Agriculture, California Environmental Protection Agency, Fresno County Department of Agriculture (FCDA), cooperating agencies, or to any of their employees in the event of injury to persons, property, or the regulated articles. To maintain and offer for inspection such records as may be required to carry out all additional conditions, treatments, precautions, and sanitary measures which may be required by the county regulatory official to obtain all necessary permits and licenses required for application of classified and/or restricted materials.</p>	
ADDITIONAL CONDITIONS:	
<ol style="list-style-type: none">1. Treatment shall be done by a Qualified Applicator Licensee in a manner to comply with all federal, state, and county regulations and requirements.2. All fumigations shall be done in a manner as prescribed by the state or federal commodity treatment manual, as outlined in the USDA Export Certification Manual for specific commodity fumigation schedules or as outlined in specific workplans developed in conjunction with the USDA and the receiving foreign country.3. Any alterations, changes or modifications to the approved chambers construction of fumigant delivery system shall void the certification. Such chambers must be reinspected and recertified.4. FCDA Plant Quarantine Form 178 shall be completed in duplicate prior to fumigation by the applicator and be maintained at the treatment site. A copy of PQ 178 shall be attached to the state or federal phytosanitary certificate to be submitted to the FCDA Copy and Livestock Protection Division.	

FIGURE H-1-2: Example of a Commodity Treatment Compliance Agreement (PPQ Form 182)

Appendix H: Issuing Compliance Agreements (PPQ Form 519) With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton

<p>5. The Fresno County Department of Agriculture shall be notified one (1) hour prior to all fumigations during regular working hours. If fumigation work is to be done after 5:00 PM or on weekends and/or holidays, the applicator shall notify the Fresno Office before 4:00 PM on the last working day preceding the fumigation.</p>	
<p>6. In cases where FCDA monitoring is mandatory for fumigant introduction, the fumigant introduction will not commence any later than 10:00 PM without prior approval.</p>	
<p>7. Unannounced, periodic monitoring of the fumigation process will be conducted by FCDA as deemed necessary.</p>	
<p>8. This Agreement shall be suspended and all subsequent fumigations shall be conducted in the presence of an FCDA regulatory official if any of the previous conditions are violated. The decision to suspend this Agreement rests with the FCDA local district regulatory officials and is to be reviewed by the FCDA Crop and Livestock Protection Division.</p>	
<p>I/WE HEREBY AGREE TO ABIDE BY THE ABOVE CONDITIONS:</p>	
<p>_____ (Signature)</p>	<p>_____ (Date signed)</p>
<p>_____ (Title/Position)</p>	
<p>_____ (Name of Applicator)</p>	<p>_____ (License Number)</p>
<p>Agreement No. 10-_____</p>	<p>_____ (Date of Agreement)</p>
<p>The affixing of the signature below will validate this Agreement which shall remain in effect until canceled, but may be revised as necessary or revoked for noncompliance.</p>	
<p>_____ (County Official - Print Name)</p>	<p>_____ (Print Title)</p>
<p>_____ (Signature)</p>	
<p style="text-align: right;">PQ 182 Revised 6/29/95</p>	

FIGURE H-1-2: Example of a Commodity Treatment Compliance Agreement (PPQ Form 182)

Appendix H: Issuing Compliance Agreements (PPQ Form 519) With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton



Appendix I

Plants in Growing Media

Contents

Introduction [page-I-1-1](#)

Greenhouse Grown Nursery Stock [page-I-1-2](#)

Field Grown Nursery Stock [page-I-1-2](#)

Procedure Used by Florida State Plant Regulatory Officials to Certify Plants in Growing Media and in Containers 21" or Larger [page-I-1-4](#)

Introduction

The European Union (EUN) countries of Belgium, Denmark, Germany, France, Greece, Italy, Luxembourg, The Netherlands, Portugal, Spain, United Kingdom, Austria, Finland, Sweden, and Ireland will accept plants established in growing media (it may include soil in its entirety or in part) originating in non-European countries under the condition that the growing media has been officially certified as being free of prohibited noxious organisms.

APHIS has adopted the position that phytosanitary certification of plants in growing media, if based on sound nursery production procedures, would provide the EUN countries protection against noxious organisms within the confines of the certifying statement on the Federal Phytosanitary Certificate (FPC) and adequately satisfy our obligation to international plant protection.

Therefore, issuing FPC's for plants in growing media is authorized to Belgium, Denmark, Germany, France, Greece, Italy, Luxembourg, The Netherlands, Portugal, Spain, United Kingdom, Austria, Finland, Sweden, and Ireland. The authorization is based on the official certification by an Authorized Certification Official (ACO) that a shipment of plants offered for export has been prepared according to the following procedures of production and sanitation:



Do not use these requirements to certify plants in growing media if the destination is the French Overseas Departments (French Guiana, Guadeloupe, Martinique, and Reunion). Follow the requirements as stated in EXCERPT.

Greenhouse Grown Nursery Stock

- ◆ Nursery routinely disinfects the flats, benches, soil bins, and tools.
- ◆ Plant cuttings are derived from healthy parent stock.
- ◆ Seeds and cuttings are rooted in sterile media in a greenhouse. (Refer to the NOTE at the end of all listed procedures on [page-I-1-4](#))
- ◆ Plants are transplanted or repotted to sterile growing media. (Refer to the NOTE at the end of all listed procedures on [page-I-1-4](#))
- ◆ If established plants are moved outdoors from a greenhouse, they are to be transferred to raised benches or plastic sheeting on the ground.
- ◆ Plants contained in the shipment have been sampled and found to be negative for burrowing nematode (*Radopholus similis*), or are certified as originating in an area where the burrowing nematode is not known to occur.
- ◆ Shipments are supported by a State phytosanitary certificate that attests to the conformity with the above procedures. (State phytosanitary certificates must be converted to FPC's before the export.)

Field Grown Nursery Stock

- ◆ Plants must originate in a nursery currently inspected and certified by the plant regulatory branch of the State government.
- ◆ *Corynebacterium sepedonicum* (potato bacterial ring rot), *Globodera pallida* (a potato cyst nematode), *Globodera rostochiensis* (golden nematode), and *Synchytrium endobioticum* (potato wart), are not known to occur at the place of production. (*Globodera pallida* and *Synchytrium endobioticum* are not known to occur in the United States.)
- ◆ Nursery routinely disinfects the flats, benches, soil bins, and tools.
- ◆ The nursery operator must give 48 hours advance notice to the appropriate certifying official when a root washing and repotting operation is to begin. The certifying official will decide to conduct the phytosanitary inspection throughout the entire preparation process or on a random spot-check basis.

- ◆ Field grown nursery stock are to be washed completely free from soil in an area of the nursery where contamination of other nursery stock, sterile growing media, and holding areas will be avoided. The washing is to be accomplished using clean water under pressure.
- ◆ Plants contained in the shipment (if known to be hosts or if host status is unknown) have been sampled and found to be negative for burrowing nematode (*Radopholus similis*), or are certified as originating in an area where the burrowing nematode is not known to occur.
- ◆ Containerized (potted) plants intended for export to EUN must be segregated from other nursery stock and held in a readily identifiable section of the nursery until shipment.
- ◆ Shipments are supported by a State phytosanitary certificate that attest to the conformity with the above procedures. (State phytosanitary certification must be converted to FPC's before the export.)
- ◆ Plants are to be transplanted into clean containers using sterile growing media. Containers are to be transferred to raised benches or plastic sheeting on the ground.



For the purpose of these certification schemes, an acceptable sterile media must be one of the following categories. Growing media that falls outside the two categories below will not be eligible for certification. However, if the growing media appears to satisfy the general sterility requirement, the process used should be referred for approval to the Export Certification Unit (ECU), PO, Riverdale, MD.

1. A growing medium that has been uniformly pasteurized using aerated steam at 140°F for 30 minutes, or by using live steam at 180°F for 30 minutes. The pasteurization should be conducted using premoistened media and ensuring that the densest portion receives the minimum temperature for the full 30 minutes.
2. A growing medium having component parts of unused peat (peat commercially harvested from a bog not previously used as farmland or any other agricultural purpose), clean sand, sawdust, or wood shavings, and biologically inert fillers such as perlite or vermiculite. (Continued) The certifying official will determine if the growing media is acceptable for this category. The determination will be based on the official's observation and judgment of the sanitary practices used to store, handle, and use the growing media components by the formulator or the nursery.

Procedure Used by Florida State Plant Regulatory Officials to Certify Plants in Growing Media and in Containers 21" or Larger

Introduction

The tagging procedure and the list of approved and prohibited growing media detailed in this appendix are specific to potted plants from Florida being exported to the European Union (EUN). Beginning March 1, 1988, all plants potted in containers 21" or larger intended for export to EUN must be tagged by the Division of Plant Industry (DPI), Florida Department of Agriculture and Consumer Services. After this date, untagged plants in containers 21" or larger will not be certified to the EUN.

Tagging Procedure

When a Florida State plant regulatory official (SPRO) tags a plant, the tag indicates that the plant has been potted in an approved growing media.

The tag is made of durable yellow plastic (5" x 2 11/16") and is attached to the plant with a DPI plastic numbered seal. Each tag with seal costs \$.10. If an additional seal is needed for a large diameter trunk, each additional seal costs \$.10.

The tag reads: "Eligible for EUN Certification." The SPRO will write on the tag the date the plant was certified free of burrowing nematode. This certification is good for 1 year. The tag only indicates that the plant is eligible for certification. It still must meet the plant pest requirements of the importing country at the time of phytosanitary certification.

To initiate the new tagging procedure, SPRO's will tag all plants in 21" containers or larger from known exporters by March 1, 1988. Thereafter, tagging will be done annually at the time of burrowing nematode certification.

Approved Growing Media

The following listed components are approved growing media for plants destined to the EUN:

- ◆ Biologically inert fillers (perlite, vermiculite, etc.)
- ◆ Clean sand
- ◆ Melaleuca
- ◆ Peat, unused (pest commercially harvested from a bog not previously used for farmland or for any other agricultural purpose)

- ◆ Sawdust
- ◆ Wood shavings or wood chips (free of bark)

Prohibited Growing Media

The following listed components are prohibited isolated bark used as growing media for plants destined to the EUN:

- ◆ *Abies* (fir)
- ◆ *Castanea* (chestnut)
- ◆ Coniferae (conifers)
- ◆ *Larix* (larch)
- ◆ *Picea* (spruce)
- ◆ *Populus* (poplar)
- ◆ *Pseudotsuga* (Pineaceae)
- ◆ *Quercus* (oak)
- ◆ *Tsuga* (hemlock)
- ◆ *Ulmus* (elm)

Appendix I: Plants in Growing Media

Procedure Used by Florida State Plant Regulatory Officials to Certify Plants in Growing Media and in Containers 21" or



Appendix J

Maintenance: Supporting and Updating the Export Certification Manual

Contents

Introduction	page-J-1-1
Issuing Revisions	page-J-1-1
Keeping Manuals Current	page-J-1-1
Knowing What Is Revised	page-J-1-2
Updating Distribution Lists and Ordering Additional or Missing Manual Parts	page-J-1-3
Manual Order Form	page-J-1-7
Distribution Update Sheet	page-J-1-9

Introduction

Just as it is cheaper and less time consuming in the longrun to properly maintain a piece of equipment, so it is with a manual. Manuals must be maintained and modified properly. Without a systematic procedure for maintaining manuals, they are likely to fail—substantially reducing the effectiveness of the programs they support. So to maintain manuals, a systematic procedure is a must. Here is a description of how the manual will be supported and maintained—including your responsibilities for maintaining the integrity of the manuals.

Issuing Revisions

The Professional Development Center (PDC) will revise the Export Certification Manual by distributing immediate updates. We will schedule new editions at fixed intervals—at least every 4 years. If more than 50 percent of a section changes, we will issue a new section.

The PDC will never ask you to make a pen-and-ink change or transfer other types of documents into the manual's format. The PDC will issue all revisions as either “add a page” or “replace a page.” We will not issue a new page solely to correct a minor typographical error. Errors will be corrected only when it would lead to an incorrect action.

Keeping Manuals Current

There are three ways to track revisions for your manuals:

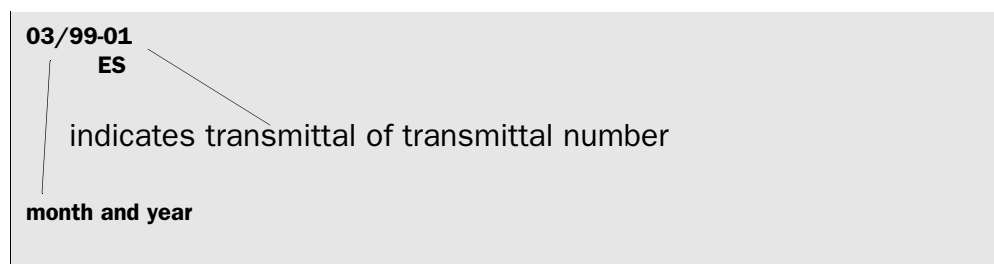
- ◆ Update Record
- ◆ Transmittal memorandums
- ◆ Control data

The Update Record is located on the reverse side of the title page of the Export Certification Manual. The purpose of the Update Record is to let you know when a transmittal has been missed. Also, during an audit, the Update Record lets your supervisor know if your manual is up to date. All transmittals are to be recorded on the Update Record.

All revisions will be accompanied by transmittal memorandums. These will be numbered consecutively—allowing you to know if you have missed something.

Port offices are to file all transmittals numerically. The field transmittals will be used by Headquarters to audit the manuals during port reviews. Individually, you may want to retain and file the transmittals to assure that you have received all the previous issuances.

In addition to having numbered transmittals, each manual page has control data positioned at the bottom. The revised pages' control data alerts you to whether or not you have the most up-to-date version. The control data looks like this:



Knowing What Is Revised

The transmittal will explain the revision's purpose and give you directions for making the revision—adding or replacing pages.

Except for changes to the Index, all revisions will be marked with arrows (-->) or change bars (). Deleted material will be marked with angle brackets (>). Material that has been moved from the bottom of one page to the top of the next page will not be marked if no other changes occur.

Where the purpose of the revision is to communicate a complex procedure, a difficult judgment, or a new regulatory action, we'll include an exercise to allow you practice using the procedure to make the regulatory decision.

To maintain manuals effectively and to enhance professionalism, manuals must be kept up to date. If you fail to keep your manual updated, you run the risk of making a decision that contravenes APHIS policies, procedures, and regulations and potentially jeopardize the entry status of US commodities abroad. Your diligence is a crucial part of this process.

Therefore, please do the following:

1. Read all revisions when you receive them.
2. Update your manuals by adding or replacing pages the day you receive them.
3. Complete the practice exercise when included.
4. File your transmittals in your manual.
5. When you have missed a transmittal, let APHIS, Management and Budget, Printing and Distribution know (see Manual Order Form included in this section). Communicate, through channels, the information that allows APHIS Distribution to update the mailing list.
6. Feel free to sound off when you feel you know a way to improve the maintenance of our manual system. Use the comment sheets to let PDC know of technical errors, procedural changes, or needed enhancements. If it is complex and you need to explain it to someone, then call Phillip Grove at PDC (240-629-1936).

Updating Distribution Lists and Ordering Additional or Missing Manual Parts

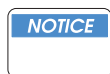
The Distribution Update Sheet is included in this section, and should be submitted by the person responsible for the distribution of manuals at your location.

To Change the Number of Manuals You Are Receiving or to Have Manuals Sent to a New Address:

If you need to **change the number of manuals you are receiving** or have manuals sent to a new address, then use the Distribution Update Sheet on page J-1-9 and:

1. List the distribution code you want changed. A list of distribution codes can be found in M390.1120.

2. Enter total number of copies you need.
3. Get signature of the operations supervisor or the Port Director.
4. Attach an old mailing label. (The label has the necessary access code.) If you do not have an old label, then wait until you get one. The change will not be made without the access code. Your access code is on every mailing label sent from Printing and Distribution in Riverdale, MD.
5. Fold, affix postage, and drop the “Distribution Update Sheet” into the mail.



If any of the above information is missing, your request will be returned.

To Correct Your Mailing Address:

If you need to correct your mailing address, then use the “Distribution Update Sheet” and:

1. Attach an old mailing label. (The label has the necessary access code.) If you do not have an old label, then wait until you get one. The change will not be made without the access code. Your access code is on every mailing label sent from Printing and Distribution in Riverdale, MD.
2. Print or type the new address as it should appear.
3. Fold, affix postage, and drop the “Distribution Update Sheet” into the mail.

To Replace or to Order Additional Manuals, Manual Parts, or Transmittals:

If you need to replace or order additional manuals, manual parts, or transmittals, use E-mail, telephone, or the Manual Order Form on page 3.10.5.

1. E-mail—To order manuals by E-mail, send your order to “PPQMANUALS” (identification for mailbox) in Riverdale using the following format:

Part Number	Date	Title	Quantity
M319.8	11/82	Foreign Cotton and Covers	10
7CFR 354.1	01/85	Overtime Services—Hourly Rate Increases	03
	03/88	Plant Import: Nonpropagative Trans.	
		No. 01/94-01	02

When ordering, include the following information. (If any information is missing, orders cannot be filled.)

- ❖ Your organization
 - ❖ Your P.O. Box (if you have one)
 - ❖ Your street address (include your room number)
 - ❖ City, State, and Zip Code
 - ❖ Contact person
 - ❖ Telephone numbers
- 2.** Telephone—To order manuals by telephone, call Distribution in Riverdale at 301-734-5523. If you get the answering machine, leave your name and telephone number (DO NOT LEAVE YOUR REQUEST). Your call will be returned within 1 working day.
 - 3.** Order Form—To order manuals by mail, fill out the Manual Order Form included in this section. Please be sure to include all necessary information and to order by Transmittal number—not page number.

Manual Order Form

I am missing the following manuals or transmittals. (If any information is missing, orders will not be filled.)

Manual or Transmittal Number	Dated:	Title:	Quantity:

Please send to:

Name:

Organization:

PO Box or Street Address:

City/State/Zip Code:

Telephone Number:

Fold, Staple, Affix Postage, and Drop in the Mail

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

Printing, Distribution, and Mail Section
USDA, APHIS, M&B
4700 River Road, Room 1A01
Riverdale MD 20783

Distribution Update Sheet

DISTRIBUTION UPDATE SHEET

1. List Distribution code(s) to be changed: The distribution code for the ECM is ECM. (If you are making a change to another manual, see a list of distribution codes in M390.1120, revised February 1982)

_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. Number of copies you get now _____ Number of copies you want to get _____

3. New or corrected address:

4. The address on the attached label is to be deleted ☐ Yes ☐ No

Attach mailing label below.

NOTE: If you do not have a mailing label, wait until you receive one. This request will be returned to you if there is no old label attached.

This Distribution Update Sheet is to be submitted by the person at your location who is responsible for the distribution of manuals.

FOLD, STAPLE, AFFIX POSTAGE, AND DROP IN THE MAIL.

UNITED STATES DEPARTMENT OF AGRICULTURE
ANIMAL AND PLANT HEALTH INSPECTION SERVICE

Printing, Distribution, and Mail Section
USDA, APHIS, M&B
4700 River Road, Room 1A01
Riverdale MD 20783



Appendix K

Directory of Phytosanitary Notes

Contents

Introduction	page-K-1-1
How to Use the Directory of Phytosanitary Notes	page-K-1-2
Alternative Sources of Export Summary (EXCERPT)	page-K-1-2
Special Notes	page-K-1-3
Countries	page-K-1-4
Foreign Country Complaints	page-K-1-4

Introduction

Purpose:

To enable users to easily and quickly find pertinent information in the Phytosanitary Notes (PN's).



Phytosanitary Notes may be accessed online via dial-up methods or via the Internet by typing the words "Export Information" on the country line, then selecting "Product Requirements."

Scope:

Only information in current PN's is put into EXCERPT. Information in superseded PN's, or information that has been incorporated into this manual or the appropriate country summary has been left out.

Types of Phytosanitary Notes (PN's):

- ◆ **Special Notes** (general information relative to issuing phytosanitary certificates; may be country specific).
- ◆ **Countries** (information that pertains to specific countries. Countries are listed alphabetically. The subentries under the countries are the kind of plant (for example, apple) and the subentries under the kind of plant are the product class (for example, fruit, grain, seeds, or cut flowers). This arrangement mimics the arrangement of Product Requirements in EXCERPT.
- ◆ **Foreign Country Complaints** (summaries of countries' reports of dissatisfaction with shipments of agricultural products from the United States).

How to Use the Directory of Phytosanitary Notes

Step 1

Determine the broad category of information and the specific kinds of information you need.

Step 2

Go to that section (those sections) of the directory (Special Notes, Countries, or Foreign Country Complaints).

Step 3

Look for Special Notes, and other information that affects the plant or plant product being exported.

If using the section on “Countries,” go to the specific country that you need information on. Scan the entire list of topics. You will be directed to the appropriate PN.

Step 4

Integrate the information in the PN with the comparable information in the country's Summary to issue the phytosanitary certificate.

Alternative Sources of Export Summary (EXCERPT)

Export Services and the Center for Environmental and Regulatory Information Systems (CERIS), our cooperator responsible for the EXCERPT database, have in place a number of systems to provide Authorized Certification Officials (ACO's) with the best available phytosanitary certification information.

The primary system is accessing export summary information using EXCERPT, our computer database. The most user friendly and most often used access is via the World Wide Web (WWW). That site is <<http://excerpt.ceris.purdue.edu>>.

Continually available in use since 1993, is dial-up access via modem (765-463-3262 or 800-435-9994). This is the most effective way to access EXCERPT if the WWW is not working or is working slowly.

An option available to you, should it become necessary, is the “Emergency Response Plan.” Refer to Appendix M in the Export Certification Manual. This contains the details of the Emergency Response Plan. Should the primary computer system fail or be shut down for more than 8 hours, this plan goes into effect. Under this plan, select sites (listed in Appendix M) have CD-ROM disks with

recent export summary information. The details of this procedure are listed and should be reviewed by all Authorized Certification Officials (ACO's).

Concurrently with the emergency response plan, should the computer on which EXCERPT is contained become unavailable for more than a day, an alternate WWW site will be available. The URL for this site is <<http://minorleague.ceris.purdue.edu>>. This site will only be activated in the even of a prolonged outage (unavailability) of the current site. It can not be used at any other time. Should all other systems fail (and only **IF** they fail), we expect Authorized Certification Officials (ACO's) to use past experience, prior certifications, and common sense (within reasonable time frames) to provide phytosanitary certification and thus maintain our export markets.

Special Notes

Agricultural Marketing Service FV Forms as basis for issuing phytosanitary certificates, **PN 93** (8/26/85)

APHIS' Import Permit Policy, **PN 0932** (06/22/00)

EXCERPT Alternative Sources of Export Summaries, **PN 0927** (12/27/99)

Countries that still need to be entered, **PN 0929** (06/22/00)

Federal Phytosanitary Certificate (PPQ Form 577), for reexport (PPQ Form 579), **PN 0896** (3/27/97); **PN 0933** (2/01/01)

Fumigation and inspection procedures, **PN 792** (2/8/95);

Grain, certifying for freedom from disease causing organisms, **PN 803** (5/18/95)

Mexico, **PN 0921** (10/21/98); **PN 0928** (12/29/99); **PN 0931** (11/15/00)

New Zealand, **PN 0926** (05/25/99)

Onions and garlic, recommendations for inspecting, **PN 884** (9/12/96)

Potpourri, **PN 332** (5/19/90)

Processed Plant Products Certificate (PPQ Form 578),

Seed, phytosanitary certification of, **PN 791** (2/8/95)

Countries

Foreign Country Complaints

Fiscal Year 1999, **PN 0930** (9/19/00)



Appendix L

Approved Country Names

Contents

[Introduction](#) [page-L-1-1](#)

Introduction

This index lists, alphabetically, the official names of countries (in boldfaced, capital letters), alternative names of countries, dependencies, and other areas of special phytosanitary interest. You'll find the following columns on each page:

- ◆ COUNTRY, Island, or Dependency Name
- ◆ Two-Letter Code for Country
- ◆ Three-Letter Code for Country
- ◆ Approved Name, and
- ◆ Summary Reference

The first column consists of a name for the country, dependency, or other area of interest. The second and third columns consecutively contain the corresponding two-letter and three-letter nationality abbreviations. The forth column gives the country's Approved Name—the name you'll enter on the PC.

If you want to know where to get information on the country's import requirements—look under the “Summary Reference” column (fifth column). There you will see one of the three following kinds of entries:

- 1. The same name as appears in the column with the country's approved name**—this means you can find the information in a summary bearing that title.
- 2. The name of another foreign country or country group**—this means that you must look for the summary with this “other” country's name for information.
- 3. FPC not authorized**—For U.S. territories and possessions, FPC's are not authorized, contact respective State departments of agriculture.

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
AFGHANISTAN, ISLAMIC STATE OF AFGHANISTAN	AF	AFG	Afghanistan	Afghanistan
ALBANIA, PEOPLE'S SOCIALIST REPUBLIC OF ALBANIA	AL	ALB	Albania	Albania
ALGERIA, PEOPLE'S DEMOCRATIC REPUBLIC OF ALGERIA	DZ	DZA	Algeria	Algeria
AMERICAN SAMOA	AS	ASM	American Samoa	FPC not authorized
ANDORRA	AD		Andorra	Andorra
ANGOLA, PEOPLE'S REPUBLIC OF ANGOLA	AO	AGO	Angola	Inter-African Group
ANGUILLA (part of the Leeward Islands and a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND)	AI	AIA	Anguilla	Anguilla
ANTARCTICA (the territory south of 60 degrees south latitude)	AQ	ATA	Antarctica	Antarctica
ANTIGUA AND BARBUDA (includes Redonda) previous entry: Antigua	AG	ATG	Antigua and Barbuda	Antigua and Barbuda
ARGENTINA, REPUBLIC OF	AR	ARG	Argentina	Argentina
ARMENIA, REPUBLIC OF ARMENIA (previously part of U.S.S.R.)	AM	ARM	Armenia	Former Soviet Republics
ARUBA (previously part of the NETHERLANDS ANTILLES)	AW	ABW	Aruba	Aruba
AUSTRALIA, COMMONWEALTH OF AUSTRALIA	AU	AUS	Australia	Australia/Nauru
AUSTRIA, REPUBLIC OF AUSTRIA	AT	AUT	Austria	European Union
AZERBAIJAN REPUBLIC (previously part of U.S.S.R.)	AZ	AZE	Azerbaijan	Former Soviet Republics
BAHAMAS, COMMONWEALTH OF THE BAHAMAS	BS	BHS	Bahamas	Bahamas
BAHRAIN, STATE OF BAHRAIN	BH	BHR	Bahrain	Bahrain
BANGLADESH, PEOPLE'S REPUBLIC OF BANGLADESH	BD	BGD	Bangladesh	Bangladesh
BARBADOS (part of the Windward Islands)	BB	BRB	Barbados	Barbados
BELARUS, REPUBLIC OF BELARUS	BY	BLR	Belarus	Former Soviet Republics
BELGIUM, KINGDOM OF BELGIUM	BE	BEL	Belgium	European Union
BELIZE	BZ	BLZ	Belize	Belize
BENIN, THE PEOPLE'S REPUBLIC OF BENIN	BJ	BEN	Benin	Inter-African Group
BERMUDA (a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND)	BM	BMU	Bermuda	Bermuda
BHUTAN, KINGDOM OF BHUTAN	BT	BTN	Bhutan	Bhutan
BOLIVIA, REPUBLIC OF BOLIVIA	BO	BOL	Bolivia	Bolivia
Bosnia and Herzegovina (REPUBLIC OF BOSNIA AND HERZEGOVINA) (previously part of Yugoslavia)	BA	BIH	Bosnia and Herzegovina	Former Republics of Yugoslavia

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
BOTSWANA, REPUBLIC OF BOTSWANA	BW	BWA	Botswana	Inter-African Group
BOUVET ISLAND (<i>Bouvetoya</i>)	BV	BYI	Bouvet Island	Bouvet Island
BRAZIL, FEDERATIVE REPUBLIC OF BRAZIL	BR	BRA	Brazil	Brazil
BRITISH INDIAN OCEAN TERRITORY (Chagos Archipelago)	IO	IOT	British Indian Ocean Territory	British Indian Ocean Territory
BRUNEI DARUSSALAM	BN	BRN	Brunei Darussalam	Brunei Darussalam
BULGARIA, REPUBLIC OF BULGARIA	BG	BGR	Bulgaria	Bulgaria
BURKINA FASO	BF	BFA	Burkina Faso	Inter-African Group
BURUNDI, REPUBLIC OF BURUNDI	BI	BDI	Burundi	Inter-African Group
CAMBODIA	KH	KHM	Cambodia	Cambodia
CAMEROON, REPUBLIC OF CAMEROON	CM	CMR	Cameroon	Inter-African Group
CANADA	CA	CAN	Canada	Canada
CAPE VERDE, REPUBLIC OF CAPE VERDE (<i>includes Boa Vista, Brava, Fogo, Maio, Sal, Santo Antao, Sao Nicolau, Sao Tiago, and Sao Vicente</i>)	CV	CPV	Cape Verde	Cape Verde
CAYMAN ISLANDS (<i>a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND; includes the islands of Cayman Brac, Grand Cayman, and Little Cayman</i>)	KY	CYM	Cayman Islands	Cayman Islands
CENTRAL AFRICAN REPUBLIC	CF	CAF	Central African Republic	Inter-African Group
CHAD, REPUBLIC OF CHAD	TD	TCD	Chad	Inter-African Group
CHILE, REPUBLIC OF CHILE (<i>includes Easter Island, Juan Fernandez Islands, Sala y Gomez, and San Felix</i>)	CL	CHL	Chile	Chile
CHINA, PEOPLE'S REPUBLIC OF CHINA	CN	CHN	People's Republic of China	China, People's Republic of
CHRISTMAS ISLAND (<i>a Dependent state of AUSTRALIA</i>)	CX	CXR	Christmas Island	None issued
COCOS (KEELING) ISLANDS (<i>a Dependent state of AUSTRALIA</i>)	CC	CCK	Cocos (Keeling) Islands	Australia/Nauru
COLOMBIA, REPUBLIC OF COLOMBIA (<i>includes Malpelo Islands, Roncador Bank, San Andres y Providencia, Serrana Bank, and Serranilla Bank</i>)	CO	COL	Colombia	Colombia
COMOROS, ISLAMIC FEDERAL ISLAMIC REPUBLIC OF (<i>includes Anjouan, Grande Comore, Moheli, and other islands</i>)	KM	COM	Comoros	Comoros
CONGO, REPUBLIC OF THE CONGO	CG	COG	Congo	Inter-African Group
COOK ISLANDS (<i>a Dependent state of NEW ZEALAND—includes the islands of Aitutaki, Atiu, Mangaia, Manuae, Mauke, Mitiaro, Rarotonga, and Takutea</i>)	CK	COK	Cook Islands	Cook Islands/Niue
COSTA RICA, REPUBLIC OF COSTA RICA	CR	CRI	Costa Rica	Costa Rica

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
COTE D'IVOIRE, REPUBLIC OF COTE D'IVOIRE	CI	CIV	Cote d'Ivoire	Inter-African Group
CROATIA, REPUBLIC OF CROATIA (previously part of Yugoslavia)	HR	HRV	Croatia	Croatia
CUBA, REPUBLIC OF CUBA	CU	CUB	Cuba	Cuba
CYPRUS, REPUBLIC OF CYPRUS	CY	CYP	Cyprus	Cyprus
CZECH REPUBLIC (previously part of Czechoslovakia)	CS	CZE	Czech Republic	Czech Republic
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	KP	PRK	Democratic People's Republic of Korea	Democratic People's Republic of Korea
DENMARK, KINGDOM OF DENMARK	DK	DNK	Denmark	European Union
DJIBOUTI, REPUBLIC OF DJIBOUTI	DJ	DJI	Djibouti	Djibouti
DOMINICA, COMMONWEALTH OF DOMINICA	DM	DMA	Dominica	Dominica
DOMINICAN REPUBLIC	DO	DOM	Dominican Republic	Dominican Republic
EAST TIMOR (includes the exclave of Oe-Cussi)	TP	TMP	East Timor	Indonesia
ECUADOR, REPUBLIC OF ECUADOR (includes Galapagos Islands (Archipelago de Colon))	EC	ECU	Ecuador	Ecuador
EGYPT, ARAB REPUBLIC OF	EG	EGY	Egypt	Egypt
EL SALVADOR, REPUBLIC OF EL SALVADOR	SV	SLV	El Salvador	El Salvador
EQUATORIAL GUINEA, REPUBLIC OF EQUATORIAL (includes Annobon, Bioko, Corisco, Elobey Chico, Elobey Grande, and Rio Muni)	GQ	GNQ	Equatorial Guinea	Inter-African Group
ERITREA (previously part of ETHIOPIA)	ER	ERI	Eritrea	Eritrea
ESTONIA, REPUBLIC OF ESTONIA (previously part of U.S.S.R.)	EE	EST	Estonia	Former Soviet Republic
ETHIOPIA, PEOPLE'S DEMOCRATIC REPUBLIC OF ETHIOPIA	ET	ETH	Ethiopia	Ethiopia
FALKLAND ISLANDS (MALVINAS) (includes East Falkland, South Georgia, South Sandwich Islands, and West Falkland)	FK	FLK	Falkland Island (Malvinas Islas)	Falkland Island
FAROE ISLANDS (a Dependent state of the KINGDOM OF DENMARK)	FO	FRO	Faroe Islands	None issued
FIJI, REPUBLIC OF FIJI (includes Rotuma Islands, Vanua Levu, and Viti Levu)	FJ	FJI	Fiji	Fiji
FINLAND, REPUBLIC OF FINLAND	FI	FIN	Finland	European Union
FRANCE, METROPOLITAN (European part of France)	FX	FRA	France	European Union
FRENCH GUIANA, DEPARTMENT OF GUIANA	GF	GUF	French Guiana	French Overseas Departments
FRENCH POLYNESIA (a Dependent state of the FRENCH REPUBLIC ; includes Austral Islands (including Tubai), Marquesas Islands, Society Archipelago (includes Tahiti), and Tuamotu Archipelago (includes Gambier Islands))	PF	PYF	French Polynesia	French Polynesia

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
FRENCH SOUTHERN TERRITORIES (includes Amsterdam, Crozet Islands (ile aux Cochons, ile de l'Est, ile de la Possession, ile de Pingouins, and iles des Apotres), Kerguelen Islands, and St. Paul)	TF	ATF	French Southern Territories	French Southern Territories
GABON, GABONESE REPUBLIC	GA	GAB	Gabon	Inter-African Group
GAMBIA, REPUBLIC OF THE GAMBIA	GM	GMB	Gambia	Inter-African Group
GEORGIA, REPUBLIC OF GEORGIA (previously part of U.S.S.R.)	GE	GEO	Georgia	Former Soviet Republics
GERMANY, FEDERAL REPUBLIC OF GERMANY	DE	DEU	Germany	European Union
GHANA, REPUBLIC OF GHANA	GH	GHA	Ghana	Inter-African Group
GIBRALTAR (a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND)	GI	GIB	Gibraltar	Gibraltar
Greece (now HELLENIC REPUBLIC) (includes Aegean Islands, Crete, Dodecanese Islands, Ionian Islands, and the Mount Athos autonomous area)	GR	GRC	Greece	Greece
GREENLAND (a Dependent state of the KINGDOM OF DENMARK)	GL	GRL	Greenland	Greenland
GRENADA (includes Southern Grenadine Islands (part of the Windward Islands))	GD	GRD	Grenada	Grenada
GUADELOUPE, DEPARTMENT OF GUADELOUPE (a Dependent state of the FRENCH REPUBLIC) (includes Basse Terre, Desirade, Grande Terre, Iles de la Petite Terre, Les Saintes, Marie Galante, Northern St. Martin, Saint-Barthelemy)	GP	GLP	Guadeloupe	French Overseas Departments
GUAM	GU	GUM	Guam	FPC not authorized.
GUATEMALA, REPUBLIC OF GUATEMALA	GT	GTM	Guatemala	Guatemala
GUINEA, REPUBLIC OF GUINEA	GN	GIN	Guinea	Inter-African Group
GUINEA-BISSAU, REPUBLIC OF GUINEA-BISSAU	GW	GNB	Guinea-Bissau	Inter-African Group
GUYANA, REPUBLIC OF GUYANA	GY	GUY	Guyana	Guyana
HAITI, REPUBLIC OF HAITI	HT	HTI	Haiti	Haiti
HEARD AND McDONALD ISLANDS	HM	HMD	Heard and McDonald Islands	Heard and McDonald Islands
HOLY SEE (Vatican City State)	VA	VAT	Vatican City State	European Union
HONDURAS, REPUBLIC OF HONDURAS (includes Swan Islands)	HN	HND	Honduras	Honduras
HONG KONG (a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND ; includes the island of Hongkong, Kowloon peninsula, and the New Territories)	HK	HKG	Hong Kong	Hong Kong
HUNGARY, REPUBLIC OF HUNGARY	HU	HUN	Hungary	Hungary
ICELAND, REPUBLIC OF ICELAND	IS	ISL	Iceland	Iceland

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
INDIA, REPUBLIC OF INDIA (includes Anadaman Islands, Amindivis, Laccadives, Minicoy, Nicobar Islands, Sikkim)	IN	IND	India	India
INDONESIA, REPUBLIC OF INDONESIA	ID	IDN	Indonesia	Indonesia
IRAN, ISLAMIC REPUBLIC OF IRAN	IR	IRN	Iran	Iran
IRAQ, REPUBLIC OF IRAQ	IQ	IRQ	Iraq	Iraq
IRELAND	IE	IRL	Ireland	European Union
ISRAEL, STATE OF ISRAEL	IL	ISR	Israel	Israel
ITALY, REPUBLIC OF ITALY	IT	ITA	Italy	European Union
JAMAICA	JM	JAM	Jamaica	Jamaica
JAPAN	JP	JPN	Japan	Japan
JORDAN, HASHEMITE KINGDOM OF JORDAN	JO	JOR	Jordan	Jordan
KAZAKHSTAN, REPUBLIC OF KAZAKHSTAN (previously part of U.S.S.R.)	KZ	KAZ	Kazakhstan	Former Soviet Republics
KENYA, REPUBLIC OF KENYA	KE	KEN	Kenya	Kenya/Tanzania/Uganda
KIRIBATI (includes Abaiang, Abemama, Aranuka, Arorae, Butaritar, Banaba, Beru, Kuria, Maiana, Makin, Mura Kei, Nunuati, Tarawa, Tabiteupa)	KI	KIR	Kiribati	Kiribati
KOREA, REPUBLIC OF KOREA	KR	KOR	Republic of Korea	Republic of Korea
KUWAIT, STATE OF KUWAIT	KW	KWT	Kuwait	Kuwait
KYRGYZSTAN, REPUBLIC OF KYRGYZSTAN (previously part of U.S.S.R.)	KG	KGZ	Kyrgyzstan	Former Soviet Republics
LAO PEOPLE'S DEMOCRATIC REPUBLIC	LA	LAO	Lao People's Democratic Republic	Lao People's Democratic Republic
LATVIA, REPUBLIC OF LATVIA (previously part of U.S.S.R.)		LVA	Latvia	Latvia
LEBANON, LEBANESE REPUBLIC	LB	LBN	Lebanon	Lebanon
LESOTHO, KINGDOM OF LESOTHO	LS	LSO	Lesotho	Inter-African Group
LIBERIA, REPUBLIC OF LIBERIA	LR	LBR	Liberia	Inter-African Group
LIBYA, SOCIALIST PEOPLE'S LIBYAN ARAB JAMAHIRIYA	LY	LBY	Libya	Libyan Arab Jamahiriya
LIECHTENSTEIN, PRINCIPALITY OF LIECHTENSTEIN	LI	LIE	Liechtenstein	Switzerland/ Liechtenstein
LITHUANIA, REPUBLIC OF LITHUANIA (previously part of U.S.S.R.)	LT	LTU	Lithuania	Lithuania
LUXEMBOURG, GRAND DUCHY OF LUXEMBOURG	LU	LUX	Luxembourg	European Union
MACAU (also AO-MEN) (includes the islands of Nossa Senhora Carmo (Taipa) and Sao Francisco Xavier (Coloane))	MO	MAC	Macau	Macau
MACEDONIA, THE FORMER YUGOSLAV REPUBLIC OF MACEDONIA (previously part of Yugoslavia)	MK	MKD	Macedonia	Former Republics of Yugoslavia

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
MADAGASCAR, REPUBLIC OF MADAGASCAR	MG	MDG	Madagascar	Madagascar
MALAWI	MW	MWI	Malawi	Malawi
MALAYSIA (includes Peninsular Malaysia, Sabah, and Sarawak)	MY	MYS	Malaysia	Malaysia
MALDIVES, REPUBLIC OF MALDIVES	MV	MDV	Maldives	Maldives
MALI, REPUBLIC OF MALI	ML	MLI	Mali	Inter-African Group
MALTA	MT	MLT	Malta	Malta
MARSHALL ISLANDS, REPUBLIC OF THE MARSHALL ISLANDS (includes Kwajalein and Majuro Islands)	MH	MHL	Marshall Islands	Marshall Islands
MARTINIQUE, DEPARTMENT OF MARTINIQUE (a Dependent state of the FRENCH REPUBLIC and part of the Windward Islands)	MQ	MTQ	Martinique	French Overseas Departments
MAURITANIA, ISLAMIC REPUBLIC OF MAURITANIA	MR	MRT	Mauritania	Inter-African Group
MAURITIUS, REPUBLIC OF MAURITIUS	MU	MUS	Mauritius	Mauritius
MAYOTTE, TERRITORIAL ENTITY OF MAYOTTE (includes the Island Communities of Grande Terre (Acoua, Bandraboua, Bandrele, Boueni, Chiconi, Chirongui, Dembeni, Kani-Keli, Koungou, Mamoudzou, Mtsamboro, M'tsangamouji, Ouangani, Sada, and Tsingoni) and Petite Terre (Dzaoudzi-Labattoir, and Pamandzi))	YT	MYT	Mayotte	Mayotte
Mexico (UNITED MEXICAN STATES)	MX	MEX	Mexico	Mexico
MICRONESIA, FEDERATED STATES OF MICRONESIA (Caroline Islands except the Palau Islands group; includes Kosrae, Chuuk, Pohnpei, and Yap)	FM	FSM	Federated States of Micronesia	Federated States of Micronesia
MOLDOVA, REPUBLIC OF MOLDOVA (previously part of U.S.S.R.)	MD	MDA	Moldova	Former Soviet Republic
MONACO, PRINCIPALITY OF	MC	MCO	Monaco	European Union
MONGOLIA	MN	MNG	Mongolia	Mongolia
MONTERRAT (an island which is part of the Leeward Islands; a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND)	MS	MSR	Montserrat	Montserrat
MOROCCO, KINGDOM OF MOROCCO	MA	MAR	Morocco	Morocco

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
MOZAMBIQUE, REPUBLIC OF MOZAMBIQUE	MZ	MOZ	Mozambique	Inter-African Group
MYANMAR, UNION OF MYANMAR (formerly SOCIALIST REPUBLIC OF THE UNION OF BURMA)	MM	MMR	Myanmar	Myanmar
NAMIBIA, REPUBLIC OF NAMIBIA	NA	NAM	Namibia	Namibia
NAURU, REPUBLIC OF NAURU	NR	NRU	Nauru	Australia/Nauru
NEPAL, KINGDOM OF NEPAL	NP	NPL	Nepal	Nepal
NETHERLANDS, KINGDOM OF THE NETHERLANDS	NL	NLD	Netherlands	European Union
NETHERLANDS ANTILLES (a territory of the KINGDOM OF THE NETHERLANDS —includes the islands of Bonaire, Curacao—Leeward Islands, Saba, Sint Eustatius (or Statia), Southern Sint Maarten—Windward Islands)	AN	ANT	Netherlands Antilles	Netherlands Antilles
NEUTRAL ZONE (Territory between the KINGDOM OF SAUDI ARABIA and the REPUBLIC OF IRAQ)	NT		Neutral Zone	Neutral Zone
NEW CALEDONIA (made up of the autonomous provinces of Loyaute, Nord, Noumea, and Sud)	NC	NCL	New Caledonia	New Caledonia
NEW ZEALAND	NZ	NZL	New Zealand	New Zealand
NICARAGUA, REPUBLIC OF NICARAGUA	NI	NIC	Nicaragua	Nicaragua
NIGER, REPUBLIC OF THE NIGER	NE	NER	Niger	Inter-African Group
NIGERIA	NG	NGA	Nigeria	Nigeria
NIUE (an island that is a Dependent state of NEW ZEALAND)	NU	NIU	Niue	Cook Islands/Niue
NORFOLK ISLAND (a Dependent state of AUSTRALIA)	NF	NFK	Norfolk Island	Australia/Nauru
NORTHERN IRELAND	IF		Northern Ireland	European Union
NORTHERN MARIANA ISLANDS, COMMONWEALTH OF THE NORTHERN MARIANA ISLANDS (except GUAM)	MP	MNP	Northern Mariana Islands	FPC not authorized
NORWAY, KINGDOM OF NORWAY	NO	NOR	Norway	Norway
OMAN, SULTANATE OF OMAN (includes Kuria Muria Islands)	OM	OMN	Oman	Oman
PAKISTAN, ISLAMIC REPUBLIC OF PAKISTAN	PK	PAK	Pakistan	Pakistan
PALAU, REPUBLIC OF PALAU	PW	PLW	Palau	Palau
PANAMA, REPUBLIC OF PANAMA	PA	PAN	Panama	Panama
PAPUA NEW GUINEA, INDEPENDENT STATE OF PAPUA NEW GUINEA (includes Admiralty Islands, Bismarck Archipelago, Bogainville, Buka)	PG	PNG	Papua New Guinea	Papua New Guinea
PARAGUAY, REPUBLIC OF PARAGUAY	PY	PRY	Paraguay	Paraguay
PERU, REPUBLIC OF PERU	PE	PER	Peru	Peru
PHILIPPINES, REPUBLIC OF PHILIPPINES	PH	PHL	Philippines	Philippines

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
PITCAIRN (an island group in the South Pacific that includes Ducie, Henderson, and Oeno; a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND)	PN	PCN	Pitcairn	Pitcairn
POLAND, REPUBLIC OF POLAND	PL	POL	Poland	Poland
PORTUGAL, REPUBLIC of PORTUGAL	PT	PRT	Portugal	European Union
PUERTO RICO	PR	PRI	Puerto Rico	FPC not authorized.
QATAR, STATE OF QATAR	QA	QAT	Qatar	Qatar
REUNION, DEPARTMENT OF REUNION (made up of the Departments of Saint-Benoit, Saint-Denis, Saint-Paul, and Saint-Pierre)	RE	REU	Reunion	French Overseas Departments
ROMANIA	RO	ROM	Romania	Romania
RUSSIAN FEDERATION (previously part of U.S.S.R.)	RU	RUS	Russian Federation	Former Soviet Republics
RWANDA, RWANDESE REPUBLIC	RW	RWA	Rwanda	Inter-African Group
ST. HELENA (a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND ; includes the islands of Ascension, Gough Island, Inaccessible, Nightingale Islands, and Tristan da Cunha)	SH	SHN	Saint Helena	Saint Helena
SAINT KITTS AND NEVIS (part of the Leeward Islands—Lesser Antilles)	KN	KNA	Saint Kitts and Nevis	Saint Kitts and Nevis
SAINT LUCIA (part of the Windward Islands)	LC	LCA	Saint Lucia	Saint Lucia
St. Martin Island (French), Northern	XC		Saint Martin	French Overseas Department
St. Martin, Southern (an island in the NETHERLANDS ANTILLES —a territory of the KINGDOM OF THE NETHERLANDS)	AN		Netherlands Antilles	Netherlands Antilles
ST. PIERRE AND MIQUELON, TERRITORIAL ENTITY OF (an Overseas Department of the FRENCH REPUBLIC)	PM	SPM	Saint Pierre and Miquelon	Saint Pierre and Miquelon
SAINT VINCENT AND THE GRENADINES (includes Northern Grenadine Islands)	VC	VCT	Saint Vincent and the Grenadines	St. Vincent and the Grenadines
SAMOA, INDEPENDENT STATE OF WESTERN SAMOA	WS	WSM	Western Samoa	Samoa
SAN MARINO, REPUBLIC OF SAN MARINO	SM	SMR	San Marino	European Union
SAO TOME AND PRINCIPE, DEMOCRATIC REPUBLIC OF SAO TOME AND PRINCIPE	ST	STP	Sao Tome and Principe	Sao Tome and Principe
SAUDI ARABIA, KINGDOM OF SAUDI ARABIA	SA	SAU	Saudi Arabia	Saudi Arabia
SENEGAL, REPUBLIC OF SENEGAL	SN	SEN	Senegal	Inter-African Group
SEYCHELLES, REPUBLIC OF SEYCHELLES	SC	SYC	Seychelles	Seychelles
SIERRA LEONE, REPUBLIC OF SIERRA LEONE	SL	SLE	Sierra Leone	Inter-African Group
SINGAPORE, REPUBLIC OF SINGAPORE	SG	SGP	Singapore	Singapore

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
SLOVAKIA, SLOVAK REPUBLIC (previously part of Czechoslovakia)	SK	SVK	Slovakia	Slovakia
SLOVENIA, REPUBLIC OF SLOVENIA (previously part of Yugoslavia)	SI	SVN	Slovenia	Slovenia
SOLOMON ISLANDS (islands east of Bougainville Island)	SB	SLB	Solomon Islands	Solomon Islands
SOMALIA, SOMALIA DEMOCRATIC REPUBLIC	SO	SOM	Somalia	Inter-African Group
SOUTH AFRICA, REPUBLIC OF SOUTH AFRICA	ZA	ZAF	South Africa	South Africa
South Georgia, (an island in the FALKLAND ISLANDS which is a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND) (previously part of Falkland Islands)	FK	FLK	Falkland Islands	Falkland Islands
South Sandwich Islands (islands in the FALKLAND ISLANDS which is a Dependnet state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND) (previously part of Falkland Islands)	FK	FLK	Falkland Islands	Falkland Islands
SPAIN, SPANISH STATE	ES	ESP	Spain	European Union
SRI LANKA, DEMOCRATIC SOCIALIST REPUBLIC OF SRI LANKA	LK	LKA	Sri Lanka	Sri Lanka
SUDAN, REPUBLIC OF THE SUDAN	SD	SDN	Sudan	Sudan
SURINAME, REPUBLIC OF SURINAME	SR	SUR	Suriname	Suriname
SVALBARD AND JAN MAYEN ISLANDS (a Dependent state of the KINGDOM OF NORWAY)	SJ	SJM	Svalbard and Jan Mayen Islands	Norway/Svalbard and Jan Mayen Islands
SWAZILAND, KINGDOM OF SWAZILAND	SZ	SWZ	Swaziland	Inter-African Group
SWEDEN, KINGDOM OF SWEDEN	SE	SWE	Sweden	European Union
SWITZERLAND, SWISS CONFEDERATION	CH	CHE	Switzerland	Switzerland/ Liechtenstein
SYRIA ARAB REPUBLIC	SY	SYR	Syria	Syria
TAIWAN	TW	TWN	Taiwan	Taiwan
TAJIKISTAN, REPUBLIC OF TAJIKISTAN (previously part of U.S.S.R.)	TJ	TJK	Tajikistan	Former Soviet Republic
TANZANIA, UNITED REPUBLIC OF TANZANIA	TZ		United Republic of Tanzania	Kenya/Tanzania/Uganda
THAILAND, KINGDOM OF THAILAND	TH	THA	Thailand	Thailand
TOGO, REPUBLIC of TOGO	TG	TGO	Togo	Inter-African Group
TOKELAU (an island that is a Dependent state of NEW ZEALAND)	TK	TKL	Tokelau	Tokelau
TONGA, KINGDOM OF TONGA	TO	TON	Tonga	Tonga
TRINIDAD AND TOBAGO, REPUBLIC OF TRINIDAD AND TOBAGO	TT	TTO	Trinidad and Tobago	Trinidad and Tobago
TUNISIA, REPUBLIC OF TUNISIA	TN	TUN	Tunisia	Tunisia
TURKEY, REPUBLIC OF TURKEY	TR	TUR	Turkey	Turkey

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
TURKMENISTAN	TM	TKM	Turkmenistan	Former Soviet Republics
TURKS AND CAICOS ISLANDS (two island groups in the West Indies; a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND)	TC	TCA	Turks and Caicos Islands	Turks and Caicos Islands
TUVALU (includes the islands of Funafuti, (Fonafale), Nanumanga, Nanomea, Niulakita, Niutao, Nui, Nukufetau, Nukulaelae, Vaitupu)	TV	TUV	Tuvalu	Tuvalu
UGANDA, KINGDOM OF UGANDA	UG	UGA	Uganda	Kenya/Tanzania/Uganda
UKRAINE (previously part of U.S.S.R.)	UA	UKR	Ukraine	Former Soviet Republics
UNITED ARAB EMIRATES	AE	ARE	United Arab Emirates	United Arab Emirates
UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND (includes Channel Islands, Isle of Man, Orkney, Scotland, Shetland Islands, and Wales)	GB	GBR	United Kingdom	European Union
URUGUAY, ORIENTAL REPUBLIC OF URUGUAY	UY	URY	Uruguay	Uruguay
UZBEKISTAN, REPUBLIC OF UZBEKISTAN	UZ	UZB	Republic of Uzbekistan	Former Soviet Republics
VANUATU, REPUBLIC OF VANUATU	VU	VUT	Vanuatu	Contact Riverdale
VATICAN CITY STATE (HOLY SEE)	VA	VAT	Vatican City State (Holy See)	European Union
VENEZUELA, REPUBLIC OF VENEZUELA	VE	VEN	Venezuela	Venezuela
VIET NAM, SOCIALIST REPUBLIC OF VIET NAM	VN	VNM	Viet Nam	Viet Nam
VIRGIN ISLANDS (BRITISH) (a Dependent state of the UNITED KINGDOM OF GREAT BRITAIN AND NORTHERN IRELAND ; includes the islands of Anegada, Jost Van Dyke, Tortola, and Virgin Gorda)	VG	VGB	British Virgin Islands	British Virgin Islands
VIRGIN ISLANDS OF THE UNITED STATES (includes Saint Croix, Saint John, and Saint Thomas)	VI	UVI	Virgin Islands (U.S.)	None issued. FPC not authorized.
WALLIS AND FUTUNA ISLANDS (a small group of islands that is an Overseas Department of the FRENCH REPUBLIC —includes Iles Wallis (Uvea), and Iles de Hoorn (Alofi and Futuna))	WF	WLF	Wallis and Futuna Islands	Wallis and Futuna Islands
WESTERN SAHARA	EH	ESH	Western Sahara	Western Sahara
WESTERN SAMOA, INDEPENDENT, STATE OF WESTERN SAMOA	WS	WSM	Western Samoa	Samoa
YEMEN, REPUBLIC OF YEMEN (includes islands of Kamaran, Perim, and Socotra)	YE	YEM	Republic of Yemen	Yemen
YUGOSLAVIA, FEDERAL REPUBLIC OF (Serbia-Montenegro)	YU	YUG	Yugoslavia	Federal Republic of Yugoslavia (Serbia-Montenegro)
ZAIRE, REPUBLIC OF ZAIRE	ZR		Zaire	Inter-African Group

COUNTRY, Island, or Dependency Name	2-Letter Code for Country	3-Letter Code for Country	Approved Name	Summary Reference
ZAMBIA, REPUBLIC OF ZAMBIA	ZM	ZMB	Zambia	Zambia
ZIMBABWE, REPUBLIC OF ZIMBABWE	ZW	ZWE	Zimbabwe	Inter-African Group



Appendix M

Emergency Response

Contents

Introduction [page-M-1-1](#)
Responsibilities [page-M-1-1](#)

Introduction

The emergency response plan is designed to supply EXCERPT users with export summary information when the EXCERPT system cannot be accessed for more than 8 hours. This could occur with a system shutdown or failure. This plan, called “EMERGENCY RESPONSE,” will be activated by PPQ electronic mail notification. The emergency response plan will be utilized until EXCERPT is returned to on-line status.

The emergency response plan outlines specific instructions for EXCERPT users and establishes specific responsibilities for emergency response locations that are delegated to provide backup export summary information during a system shutdown.

The emergency response plan will rely on Purdue University to provide selected emergency response locations with backup CD-ROMs (CDs) containing export summaries. The backup information will be loaded on local computers at these locations. EXCERPT users will telephone the emergency response locations to obtain export summary information. During the emergency response period, inquiries should be limited to immediately needed information.

Responsibilities

Responsibilities for EXCERPT users and facilitators are detailed below:

Notification During “EMERGENCY RESPONSE”:

1. Users will be notified by PPQ's electronic mail system of EXCERPT's outage and the activation of the emergency response plan.
2. State supervisors of State and county cooperators must notify those EXCERPT users not on PPQ electronic mail system of EXCERPT's outage and the activation of the emergency response plan.

3. Through their CERIS staff, Purdue University will provide backup information on CDs to emergency response locations on a regular basis—at least monthly.
4. Purdue University will notify the Export Services (ES) unit, Riverdale, MD, and private industry users of shutdown and return to on-line status.
5. EC will notify EXCERPT users by PPQ electronic mail of emergency response activation and return to on-line status.

“EMERGENCY RESPONSE” Locations:

1. Emergency response locations must have a computer with word processing software, telephone, and a knowledgeable user available to answer inquiries during the workday when the emergency response plan is active. Also, it would be desirable to have a computer printer and facsimile available. Emergency response locations will load export summary information provided by Purdue University to a local computer. This backup summary information should be used only when the emergency response plan is active.
2. The emergency response location list will include both Federal and State locations. PPQ regional directors will designate personnel and locations to provide emergency service when the emergency response plan is active. The actual number of emergency response locations may vary from region to region. The following is the projected number of emergency response locations for each region:
 - ❖ Northeast Region (NER) - 4
 - ❖ Southeast Region (SER) - 6
 - ❖ Central Region (CR) - 4
 - ❖ Western Region (WR) - 11
 - ❖ Export Services (ES) - 1
3. Refer to the following emergency response list ([Table M-1-1](#)) and call for information as needed. First, call the designated emergency response location for your area. If you do not get a response, call any other listed location. During the emergency response period, inquiries should be limited to immediately needed information. Requests for routine information should be processed after the emergency response period.

TABLE M-1-1: Emergency Response List

Location	Designated Response Personnel	Telephone Number and FAX	Designated Response Location
NORTHEAST REGION (NER)			
USDA-APHIS-PPQ Logan International Airport Terminal E East Boston, MA 02128	Gwen Servies	Comm: 617-568-1481, 82 FAX: 617-561-5739	CONNECTICUT MAINE MASSACHUSETTS NEW HAMPSHIRE RHODE ISLAND VERMONT
PA Dept. of Agric. Bureau of Plant Industry 2301 N. Cameron St. Harrisburg, PA 17110	Walt Blosser	Comm: 717-772-5205 FAX: 717-783-3275	DELAWARE MARYLAND PENNSYLVANIA VIRGINIA WEST VIRGINIA
USDA-APHIS-PPQ Lindbergh Terminal P.O. Box 11690 St. Paul, MN 55111	Gary Thomsen	Comm: 612-725-0080 FAX: 612-970-7843	ILLINOIS INDIANA MICHIGAN MINNESOTA WISCONSIN
USDA-APHIS-PPQ 8237 Kanona Road Avoca, NY 14809	Daniel Kepich	Comm: 607-566-2212 FAX: 607-566-2081	NEW JERSEY NEW YORK OHIO
USDA-APHIS-PPQ 322 Knapp Blvd. Suite 101 Nashville, TN 37217	Greg Aydelotte	Comm: 615-781-5476 FAX: 615-399-3026	GEORGIA KENTUCKY TENNESSEE
USDA-APHIS-PPQ P.O. Box 1413 Mobile, AL 36633 Building 52 AL State Docks Mobile, AL 36603	Rick Walck	Comm: 334-441-6159 FAX: 334-441-6181	ALABAMA NORTH CAROLINA SOUTH CAROLINA
USDA-APHIS-PPQ P.O. Box 59-2136 Miami, FL 33159	Leo Castaneda	Comm: 305-526-2825 FAX: 305-871-4205	FLORIDA PUERTO RICO U.S. VIRGIN ISLANDS

TABLE M-1-1: Emergency Response List

Location	Designated Response Personnel	Telephone Number and FAX	Designated Response Location
USDA-APHIS-PPQ 3505 25th Ave. Building #1 Gulfport, MS 39501	Pam Strecker	Comm: 228-868-1170 FAX: 228-868-1215	MISSISSIPPI
USDA-APHIS-PPQ 920 Main Campus Road Suite 200 Raleigh, NC 27606	Laney Campbell	Comm: 919-716-5585 FAX: 919-716-5656	ALABAMA, PPQ FLORIDA, PPQ GEORGIA, PPQ KENTUCKY, PPQ N. CAROLINA, PPQ PUERTO RICO, PPQ S. CAROLINA, PPQ TENNESSEE, PPQ U.S. VIRGIN ISLANDS, PPQ
WESTERN REGION (WR)			
USDA-APHIS-PPQ Veteran's International Bridge 3300 S. Expressway 77/83 Room 151 Brownsville, TX 78521	Luis Leal	Comm: 956-983-5800 FAX: 956-983-5830	Brownsville Eagle Pass El Paso Harlingen work units Hidalgo
USDA-APHIS-PPQ 8799 North Loop E. Suite 240 Houston, TX 77029	Robert Linn	Comm: 713-671-7783 FAX: 713-671-7790	Austin work units Dallas Galveston Houston San Antonio Texas cooperators
USDA-APHIS-PPQ 423 Canal Street Room 144 New Orleans, LA 70130	Phil Suhr	Comm: 504-589-6731 FAX: 504-589-4111	PPQ and State cooperators State of LOUISIANA

TABLE M-1-1: Emergency Response List

Location	Designated Response Personnel	Telephone Number and FAX	Designated Response Location
ISDA, Entomology and Seed Laboratory Wallace Street Office Building East 9th and Grand Des Moines, IA 50319	Chuck Stoltenow	Comm: 515-242-5180 FAX: 515-242-6371	ARKANSAS IOWA KANSAS MISSOURI NEBRASKA NORTH DAKOTA SOUTH DAKOTA PPQ and State cooperators
CDFA Pest Exclusion Branch 1220 N. St., Rm. A-372 Sacramento, CA 95814	Stephen Brown	Comm: 916-654-0312 FAX: 916-654-0986	CALIFORNIA Statewide
CDFA Pest Exclusion Branch 2889 N. Larkin Ave. Suite 101 Fresno, CA 93727	Bill Downer	Comm: 209-445-5033 FAX: 209-445-6880	Amador Calaveras Fresno Inyo Kern Kings Madera Mariposa Merced Mono Monterey San Benito Tulare San Joaquin Stanislaus Tuolumne

TABLE M-1-1: Emergency Response List

Location	Designated Response Personnel	Telephone Number and FAX	Designated Response Location
CDFA Pest Exclusion Branch 1300 Beacon Street, Room 107 San Pedro, CA 90731	Muhammed Azhar Michelle Dennis	Comm: 310-547-4319 FAX: 310-547-9598	Imperial Orange Los Angeles Ventura Riverside San Diego San Bernardino San Luis Obispo Santa Barbara
USDA-APHIS-PPQ P.O. Box 434419 San Diego, CA 92143-4419	Elizabeth Pentico	Comm: 619-661-3316 FAX: 619-661-3047	San Diego Riverside San Bernardino Imperial Inyo Mono ARIZONIA NEW MEXICO
USDA-APHIS-PPQ 11 Golden Shore Suite 460 Port of Long Beach Long Beach, CA 90802	Michael Kaae	Comm: 310-980-4217 310-980-4219 FAX: 310-980-4205	Orange
USDA-APHIS-PPQ 11840 S. La Cienega Blvd. Hawthorne, CA 90250	Ken Shimoda	Comm: 310-725-1944 FAX: 310-725-9518	Los Angeles Ventura San Luis Obispo Santa Barbara

TABLE M-1-1: Emergency Response List

Location	Designated Response Personnel	Telephone Number and FAX	Designated Response Location
USDA-APHIS-PPQ	Mike Guidici Pietro	Comm: 650-876-9109	Del Norte Siskiyou
389 Oyster Point Blvd.		FAX: 650-876-9008	Modoc
Suite 2			Humbolt
Plant Inspection Station			Trinity
South San Francisco, CA 94080			Shasta
(continued on next page)			Mendocino
			Lassen
			Tehama
			Plumas
			Glenn
			Butte
			Sierra
			Lake
			Colusa
			Sutter
			Yuba
			Nevada
			Sonoma
			Napa
			Yolo
			Sacramento
			Placer
			El Dorado
			Marin
			Solano
			Amador
			Alpine
			Contra Costa
			San Francisco
			San Joaquin

TABLE M-1-1: Emergency Response List

Location	Designated Response Personnel	Telephone Number and FAX	Designated Response Location
USDA-APHIS-PPQ 389 Oyster Point Blvd. Suite 2 Plant Inspection Station South San Francisco, CA 94080 (continued from previous page)	Mike Guidici Pietro	Comm: 415-876-9109 FAX: 415-876-9008	Merced Calaveras Tuolumne San Mateo Alameda Santa Cruz Madera Santa Clara Fresno Stanislaus Tulare Mariposa Kern Kings Monterey San Benito NEVADA
ODA 635 Capitol Street, NE Salem, OR 97310-0110	Chris Schwab	Comm: 503-986-4620 FAX: 503-986-4737	All counties
USDA-APHIS-PPQ 6135 NE 80th Ave. Suite A-5 Airport Business Center Portland, OR 97218-4033	Don Givens	Comm: 503-326-2814 FAX: 503-326-2969	All counties
W.S.D.A. Commodity Division P.O. Box 42560 Olympia, WA 98504-2560	Jim Quigley	Comm: 360-902-1833 FAX: 360-902-2085	All counties ALASKA
USDA-APHIS-PPQ P.O. Box 8769 Tamuning, Guam 96911-2769	Mitchell Nelson	Comm: 671-647-6030	GUAM NORTHERN MARIANAS
CDA 700 Kipling #4000 Lakewood, CO 80215	Les Zermuehien	Comm: 303-239-4142	All counties

TABLE M-1-1: Emergency Response List

Location	Designated Response Personnel	Telephone Number and FAX	Designated Response Location
USDA-APHIS-PPQ 555 S. Howes Suite 200 Ft. Collins, CO 80521	Roeland Elliston	Comm: 970-490-7888 FAX: 970-490-7899	All counties UTAH WYOMING MONTANA
IDA P.O. Box 790 Boise, ID 83701	Michael Cooper	Comm: 208-334-2986	All counties
USDA-APHIS-PPQ 9134 West Blackeagle Drive Boise, ID 83709	Rob McChesney	Comm: 208-378-5797 FAX: 208-378-5794	All counties
USDA-APHIS-PPQ 300 Ala Moana Blvd. #4117 P.O. Box 50002 Honolulu, HI 96850	Susan Kunisaki Alan Tamiya	Comm: 808-861-8499 FAX: 808-541-1978	All counties



Appendix N

Certification Violations

Contents

Introduction	page-N-1-1
Preparation of APHIS Form 7060	page-N-1-2
Heading	page-N-1-2
Description of Violation	page-N-1-3
Identification of Authorized Official	page-N-1-3

Introduction

Only officials authorized by the Animal and Plant Health Inspection Service (APHIS) can make changes and corrections to APHIS certificates. Unauthorized changes are in violation of 7CFR 353 and may be prosecuted under 18 USC s1001 and other applicable laws. When a violation is found, the Port director (PD) should consider the circumstances surrounding the violation before proceeding to either of the following actions:

- ◆ Issue an official Warning, Violation of Federal Regulations (APHIS Form 7060, or
- ◆ Refer the case to Investigative and Enforcement Services (IES) for further action

The Port Director (PD) should determine the intent behind the violation and make the judgement to either officially warn the violator(s) or pursue prosecution. If the intent is not clear or ambiguous, PD's can use their IES counterparts to get a recommendation on which action to take. Generally, the Office of the General Counsel (OGC) will not pursue administrative prosecution of cases that lack clear significance. Only cases that are repeat violations or have the appearance of an attempt to deceive or commit fraud should be referred to IES investigators for further action. IES in turn will determine if an investigation will be forwarded to the Office of the Inspector General (OIG) for criminal prosecution. PD's should use discretionary judgement when determining which cases require further action. If further action results in a conviction against an exporter or agent, the outcome may lead to a civil penalty or a criminal penalty.

APHIS Form 7060 should be issued when the violation does not warrant further action. If Form 7060 is issued, then no further action may be taken on this incident by IES. The following are some

examples of violations where APHIS Form 7060 may be used instead of pursuing an investigation. None of the following apply if the exporter is apparently seeking certification of an un-inspected shipment:

- ◆ Correction to the name of the exporter or importer
- ◆ Decrease in the quantity of declared produce
- ◆ Correction or deletion of botanical names
- ◆ Correction of errors in the number (generally only decreases), descriptions, or distinguishing marks
- ◆ Correction of the means of conveyance
- ◆ Addition of a letter of credit or other commercial reference to the document

These violations are prohibited practices and can result in a foreign government rejecting a certification and therefore rejecting the shipment. As first time violations these prohibited practices should not warrant a criminal investigation unless an attempt to defraud is apparent. Other first time violations may also require a criminal investigation. However, as first time violations, these violations would warrant APHIS Form 7060. Ports should use APHIS Form 7060 to inform the exporter or agent of the violation and advise them of the correct procedure to follow for making changes to a phytosanitary certificate. Also, the exporter or agent should be informed of the consequences of failing to follow procedures.

Preparation of APHIS Form 7060

To clarify the preparation of the APHIS Form 7060, the form is divided into three basic parts:

- ◆ Heading
- ◆ Description of Violation
- ◆ Identification of Authorized Official

The following give specific instructions, techniques, and examples on how to complete APHIS Form 7060 (see [Figure N-1-1](#) for a sample of this form).

Heading

Block Titled “CASE NO.”:

Leave blank for IES use.

Block Titled “VIOLATOR”:

Enter name and/or company name.

Block Titled “ADDRESS”:

Enter the address of the violator.

Description of Violation

Fill in the date of the violation.

Write a brief description of the violation. For example:

EXAMPLE: Any changes to an APHIS certificate must be made by the authorized officer. Unauthorized changes are in violation of 7CFR Part 353 and may be prosecuted under 18 USC s1001 and/or other applicable laws.

Identification of Authorized Official

Block Titled “APHIS OFFICIAL”:

Enter the name and title of the authorized official that is issuing APHIS Form 7060.

Block Titled “OFFICE ADDRESS”:

Enter the authorized official's office address and telephone number.

Block Titled “SIGNATURE”:

Signature of the authorized official that is issuing APHIS Form 7060.

Block Titled “DATE ISSUED”:

Enter the date APHIS Form 7060 was issued.

Block Titled “FOR PERSONAL SERVICE BY”:

Enter the name and signature of the violator's receiving official (violator entry).

Block Titled “DATE RECEIVED”:

Enter date APHIS Form 7060 is received by the violator (violator entry).

Block Titled “FOR CERTIFIED MAIL RECEIPT NO.”:

Enter the certified mail receipt number for APHIS Form 7060.



Appendix O

United States/Canada Greenhouse Certification Program

Contents

Introduction	page-O-1-1
Background	page-O-1-1
Program Requirements	page-O-1-2
Definitions	page-O-1-12

Introduction

■ PPQ, APHIS, USDA, and the Canadian Food and Inspection Agency (CFIA) have entered into a Memorandum of Understanding to provide for a modified phytosanitary certification program for the expeditious commercial movement of certain low-risk decorative plants between the two countries.

Background

This program permits growers to enter into a Compliance Agreement (See [“APPENDIX II of U.S./Canada Greenhouse Certification” on page-O-1-7](#)) with their respective State plant regulatory agencies for the purpose of substituting a cyclical inspection process in place of individual consignment inspection and certification. Grower participants in the program must implement measures to ensure that eligible plants are grown, stored, packed, and shipped free from quarantine pests of concern to Canada. The traditional phytosanitary certificate will be replaced with a “sticker” label certificate bearing a registration number assigned by the State plant regulatory agency. This label certificate will be affixed to one of the shipping documents (bill of lading, air waybill, etc.) accompanying shipments to Canada. The label and other elements of the Program will satisfy the phytosanitary requirements of Canada.

Program Requirements

Eligible Plant Types:

Plant types that may be included in the Greenhouse Certification Program comprise those commonly known and recognized as indoor foliage and flowering plants and those categorized as bedding plants intended for planting either indoors or outdoors. The majority of eligible plant types fall into the following categories:

- ◆ bedding plants
- ◆ flowering plants
- ◆ foliage plants
- ◆ potted bulb plants
- ◆ orchids
- ◆ cacti
- ◆ succulents

No plants on the excluded list (See [“APPENDIX I of U.S./Canada Greenhouse Certification Program” on page-O-1-6](#)) are to be shipped to Canada under this program.

Trade in certain plant species is subject to ESA and CITES requirements. Refer to **Process Protected Plants** ([page-2-8-1](#)) of the **Methods and Procedures** section of the Export Certification Manual for instructions on handling protected plants.

Origin:

All plants shipped to Canada under the auspices of this program must be of United States **propagative** origin. Plant material originating from offshore sources shall remain segregated at the establishment until such time as the plants have completed a significant cycle of vegetative growth and undergone a minimum of one quarterly inspection.

Phytosanitary Standards:

- ◆ Participating nursery establishments located in Japanese beetle (*Popillia japonica*) infested areas will be governed by the provisions of the Canada-United States Japanese Beetle Harmonization Plan.



The full text of the Canada-United States Japanese Beetle Harmonization Plan is contained in the General Information section of the EXCERPT data base for Canada.

- ◆ In addition to Japanese beetle exclusion, cultural/pest control practices used in participating nursery establishments must be adequate to prevent any possible infestation with gypsy moth (*Lymantria dispar*), soybean cyst nematode (*Heterodera glycines*), Columbia root-knot nematode (*Meloidogyne chitwoodi*), blueberry maggot (*Rhagoletis mendax*), apple maggot (*Rhagoletis pomonella*), brown garden snail (*Helix aspersa*), or other plant pests of quarantine concern to Canada. Consult EXCERPT for pest mitigation measures applicable to State of origin.
- ◆ There is a zero tolerance for quarantine pests in the greenhouses/screenhouses of participating nursery establishments. Also, participating facilities must be considered “practically free”¹ from other injurious plant pests. Nursery establishments found not to be in compliance with these sanitation criteria will be removed from the program and the compliance agreement canceled. Establishments having been sanctioned for noncompliance will not be eligible for reinstatement in the program until such time as subsequent official inspections indicate the pest problems have been eliminated.

Responsibilities:

Participating Nursery Establishments

- ◆ Must be under compliance agreement with the State plant regulatory authority and must use State approved nursery sanitation and pest control practices. Establishments meeting the conditions will be denoted as “designated facilities.”
- ◆ Must receive regular phytosanitary inspections by the State plant regulatory authority. The frequency of inspections will be specified in the compliance agreement.
- ◆ Must have a competent staff capable of carrying out the requirements of the program. At least one staff member must have a thorough understanding of the program and demonstrate the capability to carry out program requirements. This person shall be designated as the “Facility Contact Person.” All other staff members in the facility should be aware of the phytosanitary standards and trained, if deemed necessary, to carry out certain functions of the program.
- ◆ Must have a pest management program in effect that will assure consistent compliance with the phytosanitary standards. The pest management program may be one that is established and recommended by the State or by industry, or it may be

1 Practically free means not to exceed a 2 percent infestation level of non-quarantine pests unless otherwise stated by Canada. The practically free condition represents a judgement that the pests are not in excess of the amount expected to result from, and be consistent with good culturing and handling practices employed in the production and marketing of the commodity.

specifically developed by the facility. The procedures followed in the program must be documented for review by the State Plant Regulatory Agency.

- ◆ New plant material brought into the greenhouse should be held for inspection for pests before moving the material into the main production areas. If pests are found, eradication measures should be taken immediately.
- ◆ Should be inspected by qualified facility personnel at the frequency as specified in the pest management program. If pests are detected, control measures must be taken to ensure compliance with the phytosanitary standards. When export shipments are being prepared, plants and shipping areas should be examined to prevent pest contamination and to ensure that the phytosanitary standards are met. Written reports of all inspections, including the date of inspection, the plants inspected, the inspection results and any corrective actions taken should be made available upon request of the State Plant Regulatory Agency, PPQ or CFIA.
- ◆ May use other pest detection methods to obtain early warnings of pest infestations (e.g. sticky traps, pheromone traps). Eradication may be more easily achieved if infestations are detected when the pest population is small or in juvenile stages. The State Plant Regulatory Agency must be notified immediately of any uncommon pest damage or symptoms are observed or when quarantine pests are detected or suspected.
- ◆ Must maintain records of all nursery grown plants, including origin, exported under this program. The records must list all plants exported under the program and the serial numbers of export certification labels used. These records must be maintained for at least 1 year and are to be made available on request to the State Plant Regulatory Agency, PPQ, and CFIA.
- ◆ Plant consignments destined to Canada must have an approved label certificate bearing the grower's assigned registration number affixed to one of the shipping documents (bill of lading, air waybill, etc.). [See "APPENDIX III of U.S. \Canada Greenhouse Certification Program" on page-O-1-10](#), for Label Certificate format.

Brokers

- ◆ Brokers and nursery establishments who ship plants produced in other designated facilities must record the sources of plants including the source identification number. Prior to exportation, these brokers and nursery establishments must submit a trace-back plan to the State Plant Regulatory Agency for approval.

**State Plant
Regulatory
Agency**

- ◆ The designated facilities shall apply an export certification label to the invoice issued to the designated broker or nursery establishment shipping the product. For product sourced from non-designated facilities and shipped with a certification label, a State Plant Regulatory Agency's inspection report is required and must be kept as a record for at least 1 year from the date of shipment.
- ◆ Will conduct an initial inspection of a facility that has applied to participate in the Greenhouse Certification Program. The initial inspection is necessary to ensure that the applicant can meet the requirements of the program.
- ◆ Will conduct phytosanitary inspections of participating nursery establishments at the frequency specified in the compliance agreement. If a quarantine pest is found during an inspection, the certification status of the facility will be immediately revoked. The identifying mark affixed to export certification labels is the property of the State Plant Regulatory Agency. If certification is revoked, labels must be surrendered to this Agency. After eradication of the pest, the facility operator must notify the Agency and arrange for reinspection. This follow-up inspection is required to verify eradication of the pest from the facility. If an inspection reveals a significant population of non-quarantine pests, the certification status of the facility will be revoked until a follow-up inspection confirms that the pest problem has been controlled. Export certification labels may not be used until certification is re-instated. During a suspension period, Phytosanitary Certificates may be issued if the pest has been eradicated from the material destined for export. If the inspection reveals a population of non-quarantine pests at low and commonly accepted levels, the findings will be recorded and the facility operator will be advised to take immediate control measures. Export certification labels may be used for plants meeting the phytosanitary standards at the time of shipment. However, any facility that cannot maintain satisfactory phytosanitary controls will lose its designated status and will be ineligible for inclusion in the Greenhouse Certification Program.
- ◆ Will conduct audit inspections to ensure that only approved plants are being exported and that approved program procedures are being followed.
- ◆ Will provide a list of designated facilities to the responsible PPQ State Plant Health Director. This should include facility name, address, and designated number.
- ◆ Will notify the responsible PPQ State Plant Health Director of the revocation of any compliance agreement and the affected grower's identification number.

**USDA, APHIS,
Plant Protection
and Quarantine
(PPQ)**

- ◆ Upon request, will provide PPQ with pertinent information regarding program operations in their respective State. This information will include export statistics; the names of participating establishments and assigned registration numbers; and violations of program conditions and resultant sanctions, if any. This information will be provided to CFIA by PPQ as necessary.
- ◆ It is the responsibility of PPQ, APHIS, to monitor the operation of the Greenhouse Certification Program throughout the United States and to effect any changes necessary to maintain the viability and integrity of the program.
- ◆ The PPQ State Plant Health Director will send the information on the designated facilities or revocation of a facility to the PPQ Export Unit, Riverdale, Maryland. The Export Unit will be responsible for supplying a list of designated facilities to Canada and will notify CFIA of revocations.

**Canadian Food
and Inspection
Agency (CFIA)**

- ◆ It is understood that CFIA has the privilege of conducting an on-site inspection of any establishment in the United States participating in the Greenhouse Certification Program. CFIA will provide advance notice to PPQ of its intention to conduct an on-site inspection.

APPENDIX I of U.S./Canada Greenhouse Certification Program

Plants that Cannot be Shipped to Canada Under the Greenhouse Program

- ◆ *Ajania* spp.
- ◆ *Allium* spp.
- ◆ *Abies* spp.
- ◆ *Berberis* spp.
- ◆ *Capsicum* spp.
- ◆ *Castanea* spp.
- ◆ *Chaenomeles* spp.
- ◆ *Chrysanthemum* spp. (except finished pot mums)
- ◆ *Corylus* spp.
- ◆ *Crataegus* spp.
- ◆ *Cydonia* spp.
- ◆ *Dendranthema* spp. (except finished pot mums)
- ◆ *Elodea densa*
- ◆ *Gayfussacia* spp.
- ◆ *Hydrilla verticillata*

- ◆ *Juniperus* spp.
- ◆ *Larix* spp.
- ◆ *Leucanthemella* spp.
- ◆ *Lithocarpus* spp.
- ◆ *Lycopersicon* spp.
- ◆ *Mahoberberis* spp.
- ◆ *Mahonia* spp.
- ◆ *Malus* spp.
- ◆ *Myriophyllum* spp.
- ◆ *Nicotiana tabacum*
- ◆ *Nipponanthemum* spp.
- ◆ *Picea* spp.
- ◆ *Pinus* spp.
- ◆ *Prunus* spp.
- ◆ *Pseudotsuga* spp.
- ◆ *Pyrus* spp.
- ◆ *Quercus* spp.
- ◆ *Rhamnus* spp.
- ◆ *Solanum* spp.
- ◆ *Trapa* spp.
- ◆ *Ulmus* spp.
- ◆ *Vaccinium* spp.
- ◆ *Vitis* spp.
- ◆ *Zelkova* spp.

APPENDIX II of U.S./Canada Greenhouse Certification

Suggested Compliance Agreement Elements

- 1.** No plants on the excluded list are to be shipped to Canada under the Greenhouse Certification Program (attach a list of excluded plants to the compliance agreement).
- 2.** Plants must be grown in a growing area (greenhouse/screenhouse) approved by the State plant regulatory agency.

- 3.** The nursery establishment must use nursery sanitation, cultural, and pest control practices approved by the State plant regulatory agency. Such practices must be designed to prevent the introduction and establishment of any pest of quarantine concern to Canada.
- 4.** If the nursery establishment is located in a Japanese beetle infested area the establishment will be governed by the provisions of the Canada-United States Japanese Beetle Harmonization Plan.
- 5.** The State plant regulatory agency and/or Plant Protection and Quarantine (PPQ) will conduct phytosanitary inspections of participating greenhouses/screenhouses at a minimum of once per month. A reduction in this frequency may be considered when a record of compliance with standards has been established. Timing of inspections should be influenced by the type of plant material being grown in the greenhouses/screenhouses and the potential for pest infestations.
- 6.** The State plant regulatory agency and/or PPQ will conduct audit inspections to ensure that only approved plants are being exported and that approved program procedures are being followed.
- 7.** A sticker, or label certificate bearing the grower's assigned registration number must be affixed to one of the shipping documents (bill of lading, air waybill, etc.) accompanying each shipment so as to be readily visible to an inspector at the Canadian point of entry.
- 8.** Records of plant inventories, including origin of plants, and date of receipt, of any nursery-grown plant shipped under this program are to be maintained at the nursery premises for at least 1 year after shipment. These records are to be made available on request to the State plant regulatory agency and Canadian Food and Inspection Agency (CFIA).
- 9.** The compliance agreement should include a notation to the effect that Plant Protection Division, CFIA has the right, following advance notification, to conduct an on-site inspection of any establishment in the United States participating in the Greenhouse Certification Program.
- 10.** Violation of any stipulation in the compliance agreement will be grounds for termination of the agreement. Where a violation of the program conditions occur, the facility will be immediately suspended for a period of time agreed to by PPQ and CFIA.
- 11.** Each compliance agreement is to be countersigned by a PPQ State Plant Health Director or authorized representative.

<p>FLORIDA</p> <p>COMPLIANCE AGREEMENT</p> <p>EXPORT OF GREENHOUSE-GROWN DECORATIVE PLANTS TO CANADA</p> <p>I/We agree that no liability shall be attached to the Florida Department of Agriculture and Consumer Services (FDACS), Division of Plant Industry (DPI), or any of their employees in the event of injury to property or personnel. I/We further agree to carry out sanitary measures which may be required by the DPI and to carry out and abide by the following stipulations:</p> <ol style="list-style-type: none"> 1. This agreement will be evaluated on a quarterly basis. If the time expended on an inspection of the nursery is greater than what would be incurred on inspections of individual shipments during that quarter, this agreement will be revoked. 2. This agreement shall pertain only to shipments of those plants commonly known and recognized as house plants and are grown solely for indoor decorative purposes. The majority of eligible plant types fall into the following categories: <ul style="list-style-type: none"> ◆ bedding plants ◆ cacti ◆ flowering plants ◆ foliage plants ◆ orchids ◆ potted bulb plants ◆ succulents 3. No plants on the excluded list (see attached list) are to be shipped to Canada under this program. 4. Eligible decorative plants purchased from other Florida nurseries intended for shipment to Canada under this agreement must originate from nurseries under compliance (U.S./Canada Greenhouse Certification Program) or be inspected and certified by an authorized representative of DPI at the time of shipment. 5. Plant material originating from offshore sources shall remain segregated at this establishment until such time as the plants have completed a significant cycle of vegetative growth and undergone a minimum of one quarterly inspection. 6. Certification of plant material regulated under the Convention on the International Trade of Endangered Species (CITES) must be processed through designated USDA/PPQ ports. Authorized Florida CITES ports are: <table style="width: 100%; margin-top: 10px;"> <tr> <td style="width: 50%; vertical-align: top;"> Miami Inspection Station USDA-APHIS-PPQ P.O. Box 592136 Miami, Florida 33159 Tel: (305) 525-2825 </td> <td style="width: 50%; vertical-align: top;"> Orlando Inspection Station USDA-APHIS-PPQ 9317 Tradeport Drive Orlando, Florida 32827 Tel: (407) 648-6856 </td> </tr> </table> 7. This nursery establishment must use approved nursery sanitation and pest control practices, receive quarterly inspections by an authorized representative of DPI and the cost of such inspections may be borne by this establishment. 8. Plants must be grown in a DPI approved growing area. 9. Plants must be grown in a manner to prevent any possible infestation with soybean cyst nematodes, Heterodera glycines. 10. A sticker or label bearing an assigned grower's number and stamp certification (which will serve as the required certificate of inspection) must be affixed to the shipping documents (bill of lading, air waybill, etc.) accompanying each shipment so as to be readily visible to an inspector at the Canadian port of entry. 	Miami Inspection Station USDA-APHIS-PPQ P.O. Box 592136 Miami, Florida 33159 Tel: (305) 525-2825	Orlando Inspection Station USDA-APHIS-PPQ 9317 Tradeport Drive Orlando, Florida 32827 Tel: (407) 648-6856
Miami Inspection Station USDA-APHIS-PPQ P.O. Box 592136 Miami, Florida 33159 Tel: (305) 525-2825	Orlando Inspection Station USDA-APHIS-PPQ 9317 Tradeport Drive Orlando, Florida 32827 Tel: (407) 648-6856	

FIGURE O-1-1: Sample Compliance Agreement - Florida

<p>11. Records of plant inventories, including origin of plants, of any nursery grown plant shipped under this program are to be maintained at the nursery premises for at least 1 year after shipment. These records are to be made available on request to DPI and the Plant Protection Division (PPD), CFIA.</p> <p>12. Representatives of DPI and/or PPQ will conduct audit inspections to ensure that only approved plants are being exported and that approved program procedures are being followed. Audit inspections will be conducted during normal business hours.</p> <p>13. PPD, CFIA has the right, following advance notification, to conduct an on-site inspection of the establishment covered under this Compliance Agreement.</p> <p>14. Violation of any stipulation of this agreement is grounds for suspension and may result in prosecution as provided by Sections 581.141 and 581.211 Florida Statutes.</p> <p>Items not eligible for export under this cooperative program must be inspected and certified by DPI on a shipment-by-shipment basis using the standard State of Florida phytosanitary certificate.</p> <p>I, _____, the owner/person in possession, care or control of the above named establishment have read and understand all of the conditions and obligations stated herein by which I may export specific species of foliage plants, in accordance with the Greenhouse Inspection Program which governs the movement of greenhouse plants between the United States and Canada.</p> <p>_____</p> <p>SIGNATURE TITLE DATE</p> <p>_____</p> <p>INSPECTOR DATE</p> <p>DIVISION OF PLANT INDUSTRY</p> <p>FLORIDA DEPARTMENT OF AGRICULTURE & CONSUMER SERVICES</p> <p>WITNESSED BY:</p> <p>_____</p> <p>Inspector</p> <p>Animal and Plant Health Inspection Service</p> <p>United States Department of Agriculture</p>

FIGURE O-1-1: Sample Compliance Agreement - Florida

APPENDIX III of U.S. \ Canada Greenhouse Certification Program

Sample Label Certificate

Each facility approved under this program will be assigned an identification number. This number, as well as a serial number, appears on the export certification labels issued to a designated facility. The identification number and serial number make each export label unique. In addition, the label shall bear the following statement: "This shipment of greenhouse-grown plants meets the import requirements of Canada, and is believed to be free from injurious plant pests." An example of an export label is shown below.

The designated facility is responsible for paying all costs associated with obtaining export certification labels, although the labels remain the property of the State Plant Regulatory Agency. The label must meet

the specifications as that of the sample label shown below. The State Plant Regulatory Agency will authorize the printing of the labels and indicate the identification number and serial numbers to be used for the print. The serial numbers must not repeat.

The export certification label must be affixed to an air waybill, bill of lading, or other shipping documentation accompanying each shipment of plants.

A designated facility must exercise strict control over the use of export certification labels. Records must be kept of serial numbers of labels in stock and of labels used for export shipments. The facility is accountable for documenting the whereabouts of all labels. Under no circumstances should labels be given to anyone other than a person authorized by and employed by the designated facility. Failure to comply with this requirement will result in immediate suspension from the Greenhouse Certification Program.

All plants shipped under this program by a broker or producer must have been propagated and produced in a designated facility or inspected by the State Plant Regulatory Agency. If plants are sourced from a non-designated facility to be mixed with plants from a designated facility, the plants must be inspected by the State Plant Regulatory Agency. A copy of the State inspection report must be kept with the documentation by the designated facility. Shipments containing plants which were all from a non-designated facility require a normal inspection and a phytosanitary certificate.

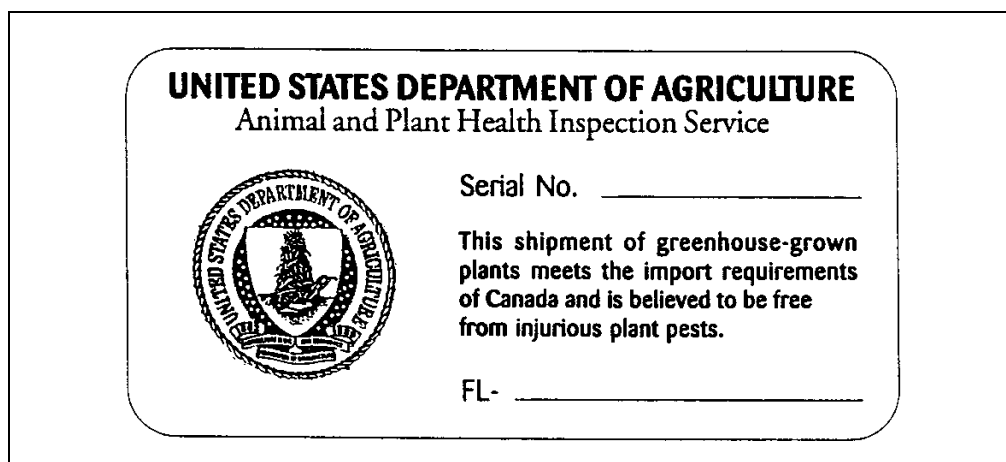
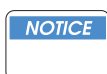


FIGURE O-1-2: Sample of an export certification label



The "FL" denotes the State of Florida. The appropriate two letter designation should be utilized for the State from which the plants are being exported.

APPENDIX IV of U.S./Canada Greenhouse Certification Program

Definitions

Bedding Plants

Bedding plants are outdoor garden plants that are grown under protection and later sold for planting in outdoor gardens. Some examples of popular bedding plants are marigolds, petunias, and geraniums.

Broker

A broker in the Greenhouse Certification Program is defined as an exporter who does not own or operate a facility for producing plants but ships plants produced by other designated facilities.

Cacti

Cacti are plants that are adapted for storing water for extended periods of drought. They generally do not have leaves, and almost all species are spiny, with spines growing from small cushion-like structures called areoles. Some of the most popular cacti grown in greenhouses include the barrel cactus, prickly pear, Christmas cactus, and Easter cactus.

Designated Facility

A designated facility in the Greenhouse Certification Program is defined as a nursery establishment which has signed a compliance agreement and is in compliance with the terms and conditions of the Greenhouse Certification Program. Plants shipped by a Designated Facility may be produced at their own facility or may be produced at another facility approved in the program.

Flowering Greenhouse Plants

Flowering greenhouse plants are those grown for their attractive flowers. These plants are grown indoors and are often incapable of surviving outdoor growing conditions in colder climates. Examples of flowering greenhouse plants include poinsettias, Easter lilies, hydrangeas, cyclamens, gloxinias, and hibiscus.

Foliage Plants

Foliage plants are distinguished by the beautiful foliage they produce rather than by the flowers. This group includes all tropical plants such as dieffenbachias, ferns, scheffleras, and philodendrons as well as coleus, crontons, fittonias, pileas, and peperomia.

Nursery Establishment

A nursery establishment is a company which owns or operates a facility for producing plants.

Orchids

Orchids represent a special group of flowering plants comprising approximately 25,000 species. Orchids are best recognized by their bilaterally symmetrical flowers. Some of the most popular greenhouse genera are *Cattleya*, *Cymbidium*, *Paphiopedilum*, *Phalaenopsis*, *Dendrobium*, *Odontoglossum*, and *Oncidium*.

Potted Bulb Plants

Potted bulb plants are produced by forcing bulbs to flower, usually for the Christmas and Easter markets. Examples in this group include tulip, narcissus, crocus, hyacinth, iris, and amaryllis.

Practically Free From Other Injurious Pests

Not carrying pests or a specific pest in numbers or quantities in excess of those that can be expected to result from, and be consistent with, good culturing and handling practices employed in the production and marketing of the commodity.

Quarantine Pest

Each importing country identifies their own quarantine pests and are listed as prohibited pests in the importing country's plant quarantine import requirements. They are pests that are of potential economic importance to the area endangered, and are not present, or present but not widely distributed and being officially controlled.

Succulents

Succulents are thick fleshy plants capable of storing large quantities of water in their leaves and stems. Many succulent plants are spineless. Succulents with spines differ from cacti in that the spines grow directly from the plants tissue rather than from structures called areoles. Some examples of succulent plants grown in greenhouses are jade plants, aloe vera, and crown-of-thorns.



Appendix P

U.S. Export Standards for Seed Potatoes

Contents

General Description	page-P-1-1
Definitions	page-P-1-1
General Provisions	page-P-1-3
Authority	page-P-1-5
Responsibilities	page-P-1-5
Requirements for Classes of Certified Seed Potatoes	page-P-1-6
Refusal, Cancellation of Approval and Rejection	page-P-1-8
Grade	page-P-1-9
Identification	page-P-1-9

General Description

U.S. EXPORT SEED POTATOES consist of seed potatoes certified by an official state seed potato certification agency as having met the requirements of this article and to which there have been affixed the official indicia of certification.

Definitions

Approved Testing Methods-

bioassay, serodiagnostic, or other testing methods including, but not limited to, gel electrophoresis and molecular hybridization using methods which have been approved by the Certification Section of the Potato Association of America in consultation with the Pathology Section of the Potato Association of America.

Disease Tested-

a process where each explant has been tested for and found free from potato spindle tuber viroid (PSTV), potato virus A (PVA), potato virus M (PVM), potato virus S (PVS), potato virus X (PVX), potato virus Y (PVY), leafroll (PLRV), bacterial ring rot (BRR), and bacterial soft rot/blackleg (*Erwinia* spp.) using approved methods.

Virus X-Tested-

tested for and found to be within tolerance for PVX using approved testing methods.

Class-

seed quality level as it relates to compliance with the specified tolerances for diseases and varietal purity.

Limited Generation System-

a certification scheme wherein the planting stock for each seed class is limited as to eligibility by compliance with established disease tolerances and the number of increases made in the field. The classes or generations of the limited generation system included in this article are; Pre nuclear, Nuclear, Generation 1, Generation 2, Generation 3, Generation 4 and Generation 5; where Pre nuclear is laboratory production, Nuclear is greenhouse production and Generations 1-5 are the first and subsequent field increases.

Seed Potatoes-

potato plantlets, plants, microtubers, minitubers, tubercles and tubers.

Plantlets-

small plants produced under aseptic culture conditions in a laboratory.

Plants-

rooted plants produced under a screenhouse, greenhouse, or field environment.

Microtubers-

small tubers produced under aseptic culture conditions in a laboratory.

Minitubers-

small tubers produced in a soilless medium under greenhouse conditions controlled to exclude pests and diseases.

Tubercles-

small tubers produced in leaf axils of leaf bud cuttings.

Tubers-

potatoes produced under field conditions.

Off-Type-

different from the cultivar, variety, strain, or selection on the application for certification.

Grade-

a tuber quality as it relates to compliance with specific tolerances for tuber sizes, defects, diseases and other factors outlined in the U.S. No. 1 Seed Potato Grade.

Certification-

a process where employees of an official certification agency visually inspected growing grounds or facilities and crops thereon or therein and have determined that the standards applicable thereto as specified in this article have been met. It does not guarantee or warrant that the seed potatoes to which official indicia of certification are attached, or which are otherwise represented as certified, are merchantable or fit for particular purpose.

Official State Seed Potato Certification Agency-

a state seed potato certification agency duly authorized by state law to provide seed potato certification services.

Explant-

an in-vitro potato plant or plantlet produced by rooting an excised tip of a tuber sprout or an auxiliary bud from a growing plant which shall serve as a parent for a whole clone or accession of micropropagated plants or plantlets.

Clone-

all of the progeny of a single explant and/or plantlets.

General Provisions

This article provides for the certification of seed potatoes for export by official state seed potato certification agencies. The standards specified are mandatory, but they shall not be construed to supplant or otherwise take the place of official state standards which may be designed for application to domestic seed potatoes. Whenever official state agencies, at the request of seed potato growers, seek to certify seed potatoes for export in compliance with this article, they should consult the USDA/APHIS Export Certification Manual for whatever current guidance it may provide.

Basis for Certification

Except as otherwise provided, certification is based solely on visual inspections of a sample of seed potatoes from each lot which are found to meet the tolerances prescribed in this article. Each planting shall be inspected visually at least two times and determined to be in compliance with specific tolerances.

Limited Generation System

The certification of U.S. EXPORT SEED POTATOES is in conformance with the limited generation system specified by this article.

Participant Responsibilities

The participant shall be a qualified seed potato grower raising certified seed potatoes in accordance with official state certification regulations. Farming, sanitation and other seed production practices not addressed in this article are the responsibility of the participant. Failure of the participant to comply with the requirements of this article shall make seed potatoes ineligible for export as U.S. EXPORT SEED POTATOES. In addition, the participant shall:

- ◆ Select the location of and properly maintain any planting being grown subject to the provisions of this article; and
- ◆ Maintain identity and grade of each lot of certified seed potatoes in the grower participant's possession in a manner approved by the official state seed potato certification agency.

Location of Planting

Generally, each planting site shall be subject to the approval of the official seed potato certification agency to which the grower participant makes application.

Specifically, to be eligible for use to produce a class of U.S. EXPORT SEED POTATOES, fields shall be at least 50 meters from any other potato planting which, by any means, would unduly expose seed potatoes entered for certification to infection by disease-causing pathogens.

Maintenance of Plantings

Plantings shall be kept in a good growing condition and general insect and seed pests shall be under effective control. Suitable precautions shall be taken in the cultivating, irrigating, digging, grading, movement, use of equipment, and in other farming practices to guard against the spread of disease and insect pests into or within plantings.

Harvesting and Grading Equipment and Storage Facilities

Each lot of U.S. EXPORT SEED POTATOES shall be stored so as to preclude intermixing with any other class of certified seed potatoes. U.S. EXPORT SEED POTATOES shall not be stored in the same storage facility with potatoes found to be infected with bacterial ring rot, *Clavibacter michiganensis* subsp. *sepedonicus*.

Containers

All containers used for the harvest, storage, and handling of U.S. EXPORT SEED POTATOES shall be new, or cleaned and disinfected, to the satisfaction of the official state certifying agency. All containers used for packaging and shipping U.S. EXPORT SEED POTATOES shall be new.

Authority

Federal

USDA, APHIS, Plant Protection and Quarantine (PPQ): Foreign countries have established plant quarantine regulations which exporters of U.S. agricultural products are required to meet. To enable USDA/APHIS/PPQ to help exporters meet the plant quarantine import requirements of foreign countries, the Plant Protection Act was passed in 2000. The Plant Protection Act provides the authority for issuing Federal Phytosanitary Certificates (FPC's) for the export of plants and plant products. The regulation for enforcing the Plant Protection Act is 7 CFR Part 353. Among other provisions, this regulation provides a list of PPQ offices where information can be obtained for issuing PC's, identifies the responsibilities of exporters and of Authorized Certification Officials (ACO's), and provides for issuing PC's and for entering into cooperative export certification programs.

State

Authority for certifying seed potatoes at the state level shall reside with the agency granted the authority by state law to carry out these regulatory functions. The Department of Agriculture for the state from which the seed potatoes are originating may be contacted to obtain the name and address of the official agency with certification authority.

Responsibilities

Federal

It is the responsibility of APHIS, Plant Protection and Quarantine (PPQ) to issue Federal phytosanitary certificates based on compliance with the export standard, to monitor the use of the standard and, to represent the United States growers in phytosanitary issues with other National Plant Protection Organizations.

APHIS, PPQ will periodically review the export standard to ensure that it is in keeping with current biological information and requirements of international trade and will, in cooperation with state and industry representatives, effect any necessary changes to maintain its viability and integrity.

State

The official state seed potato certification agency is responsible for verifying that the requirements of this article have been met within the limitations imposed by each state and accepted industry standards.

Participant

See General Provisions

Requirements for Classes of Certified Seed Potatoes

Wherever this section specifies a class or classes as being eligible for certification, it shall mean that the stock to be planted was previously certified as the specified class by an official seed potato certification agency. That certification shall have been to the same class as specified in this article. Also, all seed potatoes to be certified as seed potatoes shall be field monitored visually for trueness to plant type and tubers visually verified to type following harvest.

Pre nuclear (In-vitro Production)

To be eligible for certification as pre nuclear stock, each explant shall have been disease-tested as described under the definition. Plantlets and microtubers shall be produced in aseptic culture. Records shall, at all times during normal business hours, be made available for inspection by representatives of the official state certification agency.

Nuclear (Greenhouse or Controlled Environment Production)

To be eligible for certification as nuclear stock seed potatoes, plant material shall have met pre nuclear requirements. At least 5% of this increase shall be disease-tested, except when there are fewer than 20 plants or minitubers, in which case, at least five plants or minitubers shall be disease-tested. Plants or minitubers selected for such disease testing may be bulked following acceptable methods for test purposes. In the event that any test is positive for any disease infection, the whole clone, together with any progeny, shall be ineligible. Testing and regeneration records shall be maintained and made available for inspection at all reasonable times.

Generation 1

Only plant material that has met the requirements for pre nuclear or nuclear stock shall be eligible for certification as Generation 1 - U.S. EXPORT SEED POTATOES. Each cultivar and field should be individually tested by randomly collecting from separate plants a minimum of 250 leaflets or 1% of the hills for PVX testing in the laboratory. Tolerance for PVX shall be 0%. Plants shall be inspected at

least twice while growing, and on each inspection, determined to be free of all other potato diseases that may be discovered by visual inspection.

Generation 2

Only plant material that has met the requirements for Generation 1 or earlier increases shall be eligible for certification as Generation 2 - U.S. EXPORT SEED POTATOES. Plants shall be sampled and PVX tested during the growing season by randomly collecting from separate plants 250 leaflets from each 10 acres or portion thereof. Not more than one plant of the 250 plants per 10 acres tested shall be PVX infected (0.40%). Each planting shall be inspected visually at least two times and determined to be in compliance with the tolerances specified in [Table P-1-1](#).

TABLE P-1-1: Tolerances for Generation 2

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	0.10	0
Wilts	0.10	0
Total, All Viruses	0.25	0.10
Varietal Mixture	0.10	0

Generation 3

Only plant material that has met the requirements for Generation 2 or earlier generations shall be eligible for certification as Generation 3 - U.S. EXPORT SEED POTATOES. Each planting shall be inspected visually at least two times and determined to be in compliance with the tolerances specified in [Table P-1-2](#).

TABLE P-1-2: Tolerances for Generation 3

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	0.25	0.10
Wilts	0.20	0.10
Total, All Viruses	0.25	0.10
Varietal Mixture	0.25	0.10

Generation 4

Only plant material that has met the requirements for Generation 3 or earlier generations shall be eligible for certification as Generation 4 - U.S. EXPORT SEED POTATOES. Each planting shall be inspected visually at least two times and determined to be in compliance with the tolerances specified in [Table P-1-3](#).

TABLE P-1-3: Tolerances for Generation 4

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	0.50	0.25
Wilts	0.50	0.25
Total, All Viruses	0.50	0.25
Varietal Mixture	0.50	0.25

Generation 5

Only plant material that has met the requirements for Generation 4 or earlier generations shall be eligible for certification as Generation 5 - U.S. EXPORT SEED POTATOES. Each planting shall be inspected visually at least two times and determined to be in compliance with the tolerances specified in [Table P-1-4](#).

TABLE P-1-4: Tolerances for Generation 5

Factor	First Field Inspection	Second Field Inspection
Potato Spindle Tuber	0	0
Bacterial Ring Rot	0	0
Blackleg	1.00	0.50
Wilts	1.00	0.50
Total, All Viruses	1.00	0.50
Varietal Mixture	0.75	0.50

Refusal, Cancellation of Approval and Rejection

Failure to comply with any provision of this Standard shall constitute cause for refusal of certification services, cancellation of any approvals already granted, or rejection of seed potatoes entered for certification as a class of U.S. EXPORT SEED POTATOES. In addition, the following shall be specific causes for refusal, cancellation, or rejection:

- ◆ Any field, storage, or other condition which an official state seed potato certification agency determines may be detrimental to the U.S. potato industry or to the U.S. seed potato export market, or

which may hinder or prevent accurate determination of whether or not the disease, varietal purity, grade, or other requirements of this article have been met.

- ◆ Any seed potatoes entered for certification which are verified to be infested or infected with any serious pest which is new to (exotic) or of limited distribution in the United States. Gangrene (*Phoma exigua* pv. *foveata*) and wart (*Synchytrium endobioticum*) do not occur in the United States.
- ◆ Any seed potatoes which are determined to be infested with root-knot nematode (*Meloidogyne* spp.), potato rot nematode (*Ditylenchus destructor*), cyst nematode (*Globodera* spp.), or brown rot (*Pseudomonas solanacearum*). United States quarantine restrictions do not permit the growing of seed potatoes in any golden (cyst) nematode-infested area.
- ◆ The basis for and scope of a refusal, cancellation or rejection and reinstatement following such actions shall be determined by the official state potato certification agency in the state where the U.S. EXPORT SEED POTATOES are produced.

Grade

All U.S. EXPORT SEED POTATOES shall be graded to meet U.S. No. 1 Seed Potato Grade (Appendix A). U.S. EXPORT SEED POTATOES shall be identified by a blue colored tag.

Identification

All U.S. EXPORT SEED POTATOES shall be identified by official state certification tags or other official indicia affixed to each container. Such official tags or indicia shall be approved by the Certification Section of the Potato Association of America.



Appendix Q

Accreditation Program

Contents

Introduction [page-Q-1-1](#)

Introduction

This appendix contains an overview of the accreditation program that has been initiated by APHIS to facilitate the exportation of commodities to foreign markets.

APHIS, in cooperation with the National Seed Health System (NSHS), has started a process by which non government organizations can become accredited to perform certain phytosanitary functions on export commodities that are required for the issuance of a Federal Phytosanitary Certificate. Each facility will be audited and evaluated by the National Seed Health System under the direct supervision of the Accreditation Manager of USDA-APHIS-PPQ. Upon successful completion of the initial audit and with the approval of USDA-APHIS-PPQ, an entity will become an accredited entity.

Each facility will be accredited to perform one of more of the following functions which will be listed on the letter of accreditation that will be issued by USDA-APHIS-PPQ:

- ◆ Laboratory seed health testing
 - ❖ Laboratory-based program to test seed for plant pathogens using the standardized methods approved by the National Seed Health System)
- ◆ Phytosanitary field inspection
 - ❖ Field-based inspections of seed producing fields, nurseries, or greenhouses for disease freedom using standardized methods approved by the National Seed Health System
- ◆ Seed sampling for seed health laboratory testing
 - ❖ Sampling of seed using standardized methods approved by the National Seed Health System and forwarded by a traceable method to a government or accredited laboratory to be used in conducting seed health laboratory tests

- ◆ Visual inspections of seed for phytosanitary certification
 - ❖ Visual inspection of seed shipment using USDA-APHIS-PPQ approved methods at the exporter's facility for insects, weed seeds, soil, and other contaminants prior to the issuance of a Federal Phytosanitary Certificate

Facilities will report their findings to the authorized certifying official in writing and that information will become part of the port file copy of the Federal Phytosanitary Certificate. Federal Phytosanitary Certificates will **not** be issued based on functions a facility is **not** accredited to perform. The USDA-APHIS-PPQ accreditation manager will oversee that the facilities maintain compliance with the standards as specified in the CFR's through once yearly auditing of the facility and proficiency testing. Accreditation lasts for three years and will be renewed after a complete audit of the facility is completed by USDA-APHIS-PPQ and the NSHS.

Authorized Certification Officials (ACO's) may currently accept documented results from the accredited facilities listed in [Table Q-1-1](#), for the phytosanitary functions for which accreditation is held. These results then could serve to determine eligibility for the issuance of a Federal Phytosanitary Certificate for seed (intended for propagation). The phytosanitary functions performed by accredited entities are standardized and are listed in *Reference Manuals A and B* which are published by the National Seed Health System. Accredited entities must use only the methods and procedures listed in *Reference Manuals A and B*, and only for functions for which the accreditation is held. These methods and procedures are available through the PPQ website at <http://www.aphis.usda.gov/ppq/pim/accreditation>.

TABLE Q-1-1 Accredited Facilities for Seed Inspection

Accredited facility name	Accredited for
Idaho Crop Improvement Association 55 SW Fifth Avenue Meridian, Idaho 83642 (accreditation expires 7/22/05)	<ul style="list-style-type: none"> ◆ Phytosanitary field inspection for <i>Phaseolus vulgaris</i> and <i>Pisum sativum</i> ◆ Seed sampling for seed health laboratory testing
Illinois Crop Improvement Association 3105 Research Road Champaign, Illinois 61829 (accreditation expires 4/29/05)	<ul style="list-style-type: none"> ◆ Phytosanitary field inspection for <i>Zea mays</i>, <i>Triticum</i> spp., <i>Sorghum</i> spp., <i>Glycine max</i>, <i>Gossypium</i> spp., and <i>Helianthus annuus</i>
Indiana Crop Improvement Association 7700 Stockwell Road Lafayette, Indiana 47909 (accreditation expires 7/23/05)	<ul style="list-style-type: none"> ◆ Phytosanitary field inspection for <i>Zea mays</i>
Nebraska Crop Improvement Association 267 Plant Science Hall PO Box 830911 Lincoln, Nebraska 68583 (accreditation expires 8/19/05)	<ul style="list-style-type: none"> ◆ Phytosanitary field inspection for <i>Zea mays</i>
Pioneer Hi-Bred International Inc. 7301 NW 62nd Avenue Johnston, Iowa 50131 (accreditation expires 8/06/05)	<ul style="list-style-type: none"> ◆ Phytosanitary field inspection for <i>Zea mays</i> ◆ Seed sampling for seed health laboratory testing ◆ Visual seed inspection of field crops for phytosanitary inspection ◆ Laboratory seed health testing for <i>Zea mays</i> for the following pathogens: <i>Diplodia zeae</i>, <i>Cochliobolus carbonum</i>, <i>Cochliobolus heterostrophus</i>, <i>Ustilago maydis</i>/ <i>Sphacelotheca reiliana</i>, <i>Sclerophthora sorghi</i>, <i>Gibberella zeae</i>, <i>Fusarium moniliforme</i>, <i>Penicillium oxalicum</i>, <i>Cercospora sorghi</i> var. <i>Maydis</i>, <i>Kabatiella zeae</i>, <i>Phyllosticta maydis</i>, <i>Clavibacter Michiganensis</i> spp. <i>Nebraskensis</i>, <i>Erwinia stewarti</i>, Mays Dwarf Mosaic Virus, Mays Chlorotic Mottle Virus, and High Plains Virus
Professional Seed Research 7 South 437 Dugan Road Sugar Grove, IL 60554	<ul style="list-style-type: none"> ◆ Laboratory seed health testing for <i>Zea mays</i> for the following pathogens: <i>Diplodia zeae</i>, <i>Cochliobolus carbonum</i>, <i>Cochliobolus heterostrophus</i>, <i>Ustilago maydis</i>/ <i>Sphacelotheca reiliana</i>, <i>Clavibacter michiganensis</i> ssp. <i>Nebraskensis</i>, <i>Erwinia stewarti</i>

TABLE Q-1-1 Accredited Facilities for Seed Inspection (continued)

Accredited facility name	Accredited for
Seminis Inc. 2700 Camino Del Sol Oxnard, CA 93030 Laboratory location: 37437 State Highway 16 Woodland, CA 95695 (accreditation expires 12/05/06)	<ul style="list-style-type: none"> ◆ Laboratory seed health testing for the following: <ul style="list-style-type: none"> ◆ <i>Bassica</i> sp. for the pathogens: <i>Xanthomonas Campestris</i> pv. <i>Campestris</i> ◆ Pepper and tomato for the pathogens: <i>Xanthomonas Campestris</i> pv. <i>Vesicatoria</i> ◆ Pepper for the following pathogens: Tobacco Mosaic Virus, Tomato Mosaic Virus, Pepper Mild Mottle Virus ◆ Tomato for the pathogens: Tobacco Mosaic Virus, Tomato Mosaic Virus, Pepper Mild Mottle Virus, <i>Clavibacter michiginensis</i> pv. <i>Michiganensis</i> <i>Pseudomonas Syringae</i> pv. <i>tomato</i> ◆ Lettuce (<i>Latuca sativa</i>) for the pathogens: Lettuce Mosaic Virus (<i>Ishi</i> Test), <i>Xanthomonas campestris</i> pv. <i>Vitians</i> ◆ Melon and squash for the pathogen: Squash Mosaic Virus ◆ Melon and watermelon for the following pathogen: <i>Acidovorax avenae</i> pv. <i>Citrulli</i> ◆ Cucumber for the pathogen: <i>Pseudomonas syringae</i> pv. <i>Lachrymans</i> ◆ Watermelon, melon, cucumber, pumpkin, and squash for the pathogen: <i>Didymella bryoniae</i>

Information on the current status of facilities will be maintained on the PPQ web site at <http://www.aphis.usda.gov/ppq/pim/accreditation>.

Any questions concerning the accreditation program can be directed to Michael Ward, USDA-APHIS-PPQ National Accreditation Program Manager, by phone: 301/734-5227, facsimile 301/734-3249, or e-mail: <michael.d.ward@aphis.usda.gov>.

Index

A

Acceptable inspectional certificates [2-4-3 to 2-4-5](#)

Accountability, of phytosanitary certificates [3-1-7 to 3-1-8](#), [A-1-16 to A-1-18](#)

Accreditation Program [Q-1-1](#)

Additional declaration
 authority for making [2-5-11](#)
 definition of [3-1-2](#)
 example of how to line out the certificate [2-5-8](#)
 processed product certificate [2-7-5](#)
 prohibited statements [2-5-11](#)
 prohibition regarding disease statements for bulk grain [2-5-11](#)

Additional declaration (AD) [2-5-7 to 2-5-12](#)

Affiliated Island
 definition of [3-1-2](#)
 issuing PC's for commodities to [2-2-4](#)

Agricultural Marketing Service (AMS)
 definition of [3-1-2](#)

Agricultural Stabilization and Conservation Service (ASCS)
 definition of [3-1-2](#)

American ginseng [E-1-27](#)
 validating documents for the export of [2-8-17 to 2-8-28](#)
 approved signatures for [2-8-23](#)
 differentiate between wild and cultivated ginseng [2-8-26](#)
 distributing OMA export documents [2-8-26 to 2-8-28](#)
 endorsing the documents [2-8-26 to 2-8-28](#)
 example of an endorsed OMA Export Report listing the special conditions for the export of cultivated ginseng (front) [E-1-26](#)
 wild ginseng (front) [E-1-24](#)
 requirement for mail shipments [2-8-18](#)
 sample of a State Certificate of Origin for the export of wild ginseng [E-1-27](#)

American Samoa
 issuing PC's for commodities to [2-2-4](#)

Annual maintenance of certificates [A-1-20](#)

APHIS Form
 47
 sample of [A-1-26](#)
 7060
 sample of [N-1-4](#)
 80-R
 sample of [A-1-24](#)

Application for inspection and certification
 definition of [3-1-3](#)
 how to complete an [C-1-1](#)
 of domestic plants and plant products for export (PPQ Form 572) [C-1-1 to C-1-3](#)
 responsibility [1-3-3](#)
 sample of an [C-1-3](#)

Application for Inspection and Certification (PPQ Form 572) [C-1-1 to C-1-3](#)

Approved
 country names [L-1-1 to L-1-13](#)
 growing media
 for potted plants destined to the EUN [I-1-4](#)
 name of the foreign country when preparing a phytosanitary certificate [2-5-2](#)

Area Freedom
 definition of [3-1-3](#)

Artificially Propagated
 definition of [3-1-3](#)

Authorized
 officer
 preparing a phytosanitary certificate [2-5-12](#)
 port
 definition of [3-1-3](#)

Availability of the export for inspection
 exporter's responsibility [1-3-3](#)

B

Bacterial cultures [2-2-3](#)

Bark
 isolated
 prohibited as growing media for plants destined to the EUN [I-1-5](#)

Basic policy
 for phytosanitary export certification [1-1-1](#)
 for user fees [A-1-1 to A-1-30](#)

Botanical name
 information to gather [2-2-2](#)
 when preparing a phytosanitary certificate [2-5-6](#)

Burrowing nematode certification
 used by Florida State personnel [I-1-4](#)

C

Cactaceae
 characteristics [2-2-5](#)

Certifiable plants or plant products [2-2-3](#)

Certificates
 Appendix of issued by FGIS [D-1-6 to D-1-19](#)
 issued by AMS [D-1-3 to D-1-6](#)
 maintaining records for [A-1-20 to A-1-22](#)
 prepaid [A-1-9 to A-1-12](#)

Certification Violations [N-1-1 to N-1-4](#)

Certifying official
 definition of [3-1-3](#)
 responsibilities of a [1-3-1 to 1-3-4](#)

CFR Part
 353
 regulation [1-4-3](#)
 354.3
 regulation [1-4-3](#)

Charging for
 CITES
 legislation [1-4-1](#)
 reissued certificates [A-1-12 to A-1-14](#)
 replaced certificates [A-1-14 to A-1-16](#)

Charging user fees [A-1-3 to A-1-9](#)
 for certificates issued on, noncontiguous, reimbursable overtime [A-1-3 to A-1-4](#)
 for certificates issued on, regular time and on contiguous reimbursable overtime [A-1-4 to A-1-9](#)

CITES
 categories of the [2-2-4](#)
 legislation [1-4-1](#)
 renew documents for [2-8-10 to 2-8-22](#)

Collecting user fees
 procedures for [A-1-1 to A-1-30](#)

Commercial contracts [2-3-2](#)

Compilation of
 Certificates, Permits and Reports Related to the Procedures for Exporting Protected Plant Species [E-1-1 to E-1-27](#)
 Official Certificates Issued by Various Agencies and States That May or May Not Be Accepted in the Place of Inspection [D-1-1 to D-1-24](#)

Compliance agreements [2-4-1](#)

Compliance Agreements (PPQ Form 519) for the Phytosanitary Inspection of Compressed, Baled Cotton [H-1-1 to H-1-4](#)

Conditionally prohibited plants or plant products from specific areas
 requirement [2-3-7](#)

Confidentiality, of export certificates [3-1-6 to 3-1-7](#)

Consignee's name and address
 preparing a phytosanitary certificate [2-5-5](#)

Contact Point Officer (CPO)
 definition of [3-1-4](#)
 listing of [B-1-1](#)
 responsibilities [1-3-4 to 1-3-9](#)

Containerized oak lumber
 inspection [2-10-1](#)
 special procedures for [2-1-5, 2-10-1 to 2-10-2](#)

Containers 21" or larger
 procedures used by Florida State personnel to certify plants in [I-1-4 to I-1-5](#)

Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES)
 categories of the [2-2-4](#)
 legislation [1-4-1 to 1-4-2](#)
 renew or replacing documents for [2-8-23 to 2-8-24](#)

Cooperative Federal-State Phytosanitary Export Certification Program [F-1-1 to F-1-4](#)
 basic requirements [F-1-2 to F-1-3](#)
 how to enter the [F-1-1](#)
 maintaining the [F-1-4](#)
 samples of memorandums of understanding [F-1-4](#)

Cooperator
 definition of [3-1-4](#)

Corrections on PPQ form 577 [2-5-12](#)

Cotton
 issuing compliance agreements with cotton compresses and warehouses for the phytosanitary inspection of compressed, baled cotton [H-1-1 to H-1-2](#)

D

Date of
inspection
 preparing a phytosanitary certificate [2-5-2](#)
shipment
 information to gather [2-2-2](#)

Decision to certify [2-1-3](#), [2-2-1](#) to [2-2-7](#)
 collect information [2-2-2](#)
 conduct a preliminary assessment [2-2-2](#) to [2-2-4](#)
 determine if the plants or plant products are
 certifiable [2-2-3](#)
 determine origin and destination [2-2-3](#)
 identify protected plants [2-2-4](#) to [2-2-6](#)
 overview of procedures
 Figure 2-2-1 [2-2-1](#)
 process protected plants and plant
 products [2-2-4](#) to [2-2-6](#), [2-8-1](#) to [2-8-34](#)
 receive a request for certification [2-2-1](#)

Definitions [3-1-1](#) to [3-1-14](#)

Description of packages when preparing a phytosanitary certificate [2-5-5](#)

Designated ports
 as listed in EXCERPT [2-2-7](#)
 special procedures for protected plants [2-8-1](#) to [2-8-32](#)

Designation country
 information to gather [2-2-2](#)

Determining origin [2-2-3](#)

Directory [K-1-1](#)

Distribution of PPQ Form
 577 [2-5-15](#)
 579 [2-6-9](#)

Domestic
 origin
 determine if [2-2-4](#)
 processed products
 definition of [3-1-12](#)
 what's covered [1-2-1](#)
 products [1-1-2](#)

E

Emergency Response [M-1-1](#) to [M-1-10](#)
 locations [M-1-4](#)
 responsibilities [M-1-1](#)

Enabling legislation [1-4-1](#)

Endangered
 definition of [1-4-1](#) to [1-4-2](#)
 Species Act (ESA)
 categories of the [2-2-4](#)
 legislation [1-4-1](#)
 renew documents for [2-8-11](#)
 species legislation [1-4-1](#) to [1-4-2](#)

ESA
 categories of the [2-2-4](#)
 legislation [1-4-1](#)
 renew documents for [2-8-10](#)

European Union (EUN)
 definition of [3-1-4](#)

Export Certificate
 definition of [3-1-5](#) to [3-1-8](#)
 Processed Plant Products
 completing [2-7-1](#) to [2-7-7](#)
 description [3-1-12](#)
 sample of [2-7-2](#)
 Record (APHIS 80-R)
 sample of [A-1-24](#)

Export Certification
 Label
 sample of [0-1-11](#)
 Project (EXCERPT)
 definition of [3-1-4](#)

Export Certification Project (EXCERPT) [1-8-1](#)

Export Services (ES)
 definition of [3-1-9](#)

Export summaries (summary) [2-3-1](#) to [2-3-13](#)
 background [2-3-1](#)
 finding in EXCERPT [2-3-1](#)
 import requirements [2-3-2](#) to [2-3-13](#)
 procedures
 Figure 2-3-1 [2-3-2](#)
 prohibited plants or plant products [2-3-4](#)

Export system failures
 Table 2-3-1 [2-3-3](#)

Exporter
 responsibilities of an [1-3-3](#)

Exporter's name and address
 preparing a phytosanitary certificate [2-5-5](#)

Exports
 determining origin of [2-2-3](#)

F

Federal
Grain Inspection Services (FGIS)
definition of [3-1-9](#)
Wildlife Permit Office(see Office of Management
Authority) [2-8-10](#)

Federated States of Micronesia
issuing FPC's for commodities to [3-1-10](#)

Fees and Costs [A-1-1 to A-1-30](#)

FGIS Contacts [D-1-21 to D-1-24](#)

Field grown nursery stock to the EUN
special procedures for [I-1-1 to I-1-3](#)

Find the export summary [2-3-3](#)

Florida Compliance Agreement
sample of [O-1-9 to O-1-10](#)

Foreign
origin
determine if [2-2-3](#)
products [1-1-2 to 1-1-3](#)
definition of [3-1-9](#)
what's covered [1-2-1](#)

Forfeiture procedures
for protected plant species
violations of ESA and CITES [2-8-31 to 2-8-33](#)

Forms
APHIS Form 47 [A-1-25](#)
APHIS Form 97 [A-1-25](#)
PPQ Form 575 [A-1-27](#)

Freedom of Information Act coordinator [3-1-6 to 3-1-7](#)

Fungal cultures [2-2-3](#)

G

General
guidelines for completing PPQ Form 577 [2-5-12 to 2-5-14](#)
Permit
renew [2-8-5 to 2-8-19](#)
requests for [2-8-10 to 2-8-21](#)

Glossary [3-1-1 to 3-1-14](#)

Grain
prohibited statements regarding bulk
shipments [2-5-11](#)

Greenhouse Certification Program [O-1-1 to O-1-13](#)

Growing
media
approved for potted plants destined to the
EUN [I-1-1 to I-1-3](#)
season inspection
definition of [3-1-9](#)
guidelines [2-3-8](#)
requirements [2-3-8](#)

Guam
issuing PC's for commodities to [2-2-4](#)

H

How to use the ECM [1-5-1 to 1-5-2](#)

I

Identify Protected Plants [2-2-4 to 2-2-7](#)

Import
permit
definition of [3-1-10](#)
for prohibited products [2-3-4](#)
issued to importer [2-3-4](#)
required by foreign country [2-3-4 to 2-3-5](#)
requirement [2-3-4 to 2-3-7](#)
requirements [2-1-3, 2-3-1 to 2-3-13](#)
checklist of most common [2-3-4](#)
determining [2-3-1 to 2-3-13](#)
for phytosanitary import requirements [2-3-13](#)
general [2-3-13](#)
review export summaries [2-3-1 to 2-3-13](#)
find the export summary [2-3-2](#)
import requirements to be met [2-3-1 to 2-3-13](#)
conditionally prohibited plants or plant
products [2-3-7](#)
growing season inspection [2-3-8](#)
other import requirements for phytosanitary
import requirements [2-3-13](#)
required AD or OV [2-3-11](#)
required import permits [2-3-4 to 2-3-7](#)
specific ports for importation [2-3-12](#)
specific time for importation [2-3-8](#)
treatment required [2-3-7 to 2-3-10](#)
procedures
Figure 2-3-2 [2-3-5](#)
prohibited plants or plant products [2-3-6](#)

Information to gather
for preliminary assessment [2-2-2](#)

Inspection
 certificates from another agency or organization [2-4-3](#)
 results
 recording [2-4-14 to 2-4-15](#)
 time limit for exploration [1-3-3](#)

Inspectional procedures [2-4-1 to 2-4-15](#)
 general timeframe [1-3-2, 2-4-2](#)
 guidelines [2-1-2, 2-4-1 to 2-4-15](#)
 acceptable inspectional certificates [2-4-3 to 2-4-4](#)
 compliance agreements [2-4-1](#)
 general inspectional [2-4-3 to 2-4-15](#)
 prepare for inspection [2-4-2](#)
 overview of procedures [2-4-2 to 2-4-3](#)
 sample size [2-4-7 to 2-4-10](#)
 shipping date [2-4-6 to 2-4-7](#)
 supporting documents
 safety precautions [2-4-10](#)
 safety procedures [2-4-10](#)
 pests [2-4-11](#)
 prepare for [2-4-2](#)

International Plant Protection Convention (IPPC)
 definition of [3-1-10](#)

Interstate movement [2-2-4](#)

Issuing
 Compliance Agreements With Cotton Compresses and Warehouses for the Phytosanitary Inspection of Compressed, Baled Cotton [H-1-1 to H-1-4](#)
 office
 maintaining records of phytosanitary certificates [2-5-15, 2-6-9](#)
 preparing a phytosanitary certificate
 PPQ Form 577 [2-5-1 to 2-5-16](#)
 preparing processed product certificate [2-7-1 to 2-7-7](#)
 responsibilities for accountability system [3-1-7 to 3-1-8](#)

L

Laws and Regulations [1-4-1 to 1-4-3](#)

Lead time for inspection [2-4-6](#)

Letter of credit [2-3-2](#)
 definition of [3-1-10](#)

List of Contact Point Officers [B-1-1](#)

Location of export
 information to gather [2-2-2](#)

Lumber Products
 mill certification programs for coniferous sawn wood [G-1-1 to G-1-23](#)

M

Mail exports [2-1-5, 2-9-1 to 2-9-3](#)
 export plant material by mail [2-9-1](#)
 provide procedures for obtaining certification [2-9-1](#)
 sample procedures [2-9-2](#)
 for obtaining Federal phytosanitary certification [2-9-2](#)

Maintenance [2-5-15, 2-6-9](#)
 Supporting and Updating the Export Certification Manual (ECM) [J-1-1 to J-1-9](#)

Manuals
 distributing [J-1-9](#)
 ordering additional copies [J-1-4, J-1-4 to J-1-7](#)

Marinara Islands
 Commonwealth of the Northern
 issuing PC's for commodities to [2-2-4](#)

Marshall Islands
 Republic of
 issuing FPC's for commodities to [2-2-4](#)

Means of conveyance
 preparing a phytosanitary certificate [2-5-7](#)

Methods and procedures [2-1-1 to 2-4-15](#)
 overview
 Figure 2-1-1 [2-1-1 to 2-1-2](#)

Mill certification program
 for coniferous sawn wood to EUN
 listing of lumber grading agencies [2-7-2 to 2-7-3](#)
 responsibilities [G-1-1 to G-1-2](#)
 Kiln Drying MOU's [G-1-8 to G-1-14](#)
 Kiln Drying, Debarking, and Grub Hole Control MOU's [G-1-14 to G-1-22](#)
 MOU for The Mill Certification Program for Coniferous Sawn Wood Moving to European Union (EUN) Countries [G-1-2 to G-1-8](#)
 The Professional Association of Lumbermen MOU [G-1-23](#)

Monthly reports (PPQ Form 575)
 of issued certificates [A-1-20 to A-1-22](#)

Monthly Summary of Export Certificates Issued (PPQ Form 575)
 sample of
 back of form [A-1-28](#)
 front of form [A-1-27](#)

Multiple original certificates
conditions under which to use [3-1-13](#)

N

Nondesignated ports
procedures for protected plants [2-2-7](#)

O

Office of Management Authority
address for [2-8-10](#), [2-8-21](#)
exemptions granted by [2-8-6](#)
telephone number for [2-8-10](#), [2-8-21](#)

Official verification
requirement [2-3-12](#)

Official Verification (OV)
definition of [3-1-11](#)

Orchidaceae
characteristics [2-2-5](#)

Ordering additional manuals, summaries or
revisions [J-1-4](#) to [J-1-5](#)

Organic Act
enabling legislation [1-4-1](#)

Origin
and destination [2-2-3](#)
information to gather [2-2-2](#)
preparing a phytosanitary certificate [2-5-7](#)

Overtime for export certification [A-1-3](#) to [A-1-4](#)

P

Panax quinquefolius (American ginseng)
validating documents for the export of [2-8-16](#) to [2-8-24](#)

Party Country
definition of [3-1-11](#)

Permits
individuals authorized to sign [2-8-11](#)

Pest
definition of [3-1-11](#)
distribution information

sources [2-3-8](#)
free area
definition of [3-1-11](#)
identification
procedures when a pest is found [2-4-11](#) to [2-4-13](#)

Phytosanitary
certificate (FPC)
definition of [3-1-5](#)
PPQ Form 577
approved format [2-5-14](#)
attachments [2-5-14](#) to [2-5-15](#)
description of [3-1-5](#)
determining if one can be used [2-4-1](#) to [2-4-15](#)
distributing copies [2-5-15](#)
legibility [2-5-14](#)
maintaining records [2-5-15](#)
making corrections [2-5-12](#)
preparing [2-5-1](#) to [2-5-16](#)
purpose of [2-5-1](#), [3-1-8](#)
replacing a lost [2-5-13](#)
sample of [2-5-3](#)
errors documented [1-3-6](#)
superseding because of charges [2-5-13](#)
voiding [2-5-14](#)
certificate for reexport
additional declaration section of the [2-6-8](#)
attachments to [2-6-9](#)
certifying statement [2-6-6](#)
definition of [3-1-5](#)
distributing copies [2-6-9](#)
maintaining records [2-6-9](#)
preparing [2-6-5](#) to [2-6-10](#)
purpose [2-6-5](#), [3-1-8](#)
responsibility to prepare [1-3-1](#)
sample of [2-6-7](#)
notes
definition of [3-1-11](#)
to identify current changes [2-3-1](#)

Phytosanitary Notes
Directory [K-1-4](#)

Plant
definition of [3-1-12](#)
or plant products
conditionally prohibited [2-3-7](#)
regulated by ESA and CITES
listing of [2-8-1](#) to [2-8-34](#)
product
definition of [3-1-12](#)
Protection and Quarantine (PPQ)
definition of [3-1-12](#)

Plants in Growing Media [I-1-1](#) to [I-1-5](#)

Point of entry
preparing a phytosanitary certificate [2-5-7](#)

- Port Operations Staff
 - maintaining records of the phytosanitary certificates [2-5-15](#), [2-6-9](#)
- Possessions of the United States
 - issuing PC's for commodities to [2-2-4](#)
- PPQ Form
 - 572 (Application for Inspection and Certification of Domestic Plants and Plant Products for Export)
 - definition of [3-1-3](#)
 - how to complete [C-1-1](#)
 - responsibility [1-3-3](#)
 - sample of [C-1-3](#)
 - 577 (Federal Phytosanitary Certificate) [2-1-1](#), [2-5-1 to 2-5-16](#)
 - additional declarations [2-5-7 to 2-5-9](#)
 - authority for making [2-5-12](#)
 - prohibited statements [2-5-11 to 2-5-12](#)
 - approved format [2-5-14](#)
 - attachments [2-5-14 to 2-5-15](#)
 - definition of [3-1-5](#)
 - determining if one can be issued [2-5-1 to 2-5-16](#)
 - distributing copies [2-5-15](#)
 - general guidelines for completing [2-5-12 to 2-5-16](#)
 - checking legibility and approved language [2-5-14](#)
 - knowing when to use attachments [2-5-14](#)
 - making corrections [2-5-12](#)
 - replacing lost [2-5-13](#)
 - superseding [2-5-13](#)
 - verifying approved format [2-5-14](#)
 - voiding [2-5-14](#)
 - legibility [2-5-14](#)
 - maintaining records for [2-5-15](#)
 - making corrections [2-5-12](#)
 - preparing [2-5-1 to 2-5-16](#)
 - purpose of [2-5-1](#), [3-1-8](#)
 - replacing lost [2-5-13](#)
 - sample of [2-5-3](#)
 - superseding because of changes [2-5-13](#)
 - voiding [2-5-14](#)
 - 578 (Export Certificate, Processed Plant Products) [2-1-4](#), [2-7-1 to 2-7-7](#)
 - additional declaration
 - authority for making [2-7-5](#)
 - pest declaration [2-7-5](#)
 - prohibited statements [2-7-5 to 2-7-6](#)
 - supersede statements for revised certificates [2-7-4](#)
 - definition of [3-1-5](#)
 - general guidelines for completing [2-7-5 to 2-7-7](#)
 - checking legibility and approved language [2-7-6](#)
 - know when to use attachments [2-7-5](#)
 - making corrections [2-7-5](#)
 - maintaining records [2-7-7](#)
 - preparing [2-7-3 to 2-7-7](#)
 - purpose of [2-7-1](#)
 - replacing a lost one [2-7-6](#)
 - sample of [2-7-2](#)
 - 579 (Phytosanitary Certificate for Reexport) [2-1-4](#), [2-6-1 to 2-6-10](#)
 - additional declaration section [2-6-8](#)
 - attachments [2-6-9](#)
 - certifying statement [2-6-5](#)
 - definition of [3-1-5](#)
 - distributing copies [2-6-9](#)
 - maintaining records for [2-6-9](#)
 - preparing [2-6-5 to 2-6-9](#)
 - purpose of [2-6-5](#), [3-1-8](#)
 - responsibility to prepare [1-3-3](#)
 - sample of [2-6-7](#)
- PPQ Form 575 [A-1-20](#)
- Preliminary assessment
 - conduct a [2-2-2 to 2-2-4](#)
- Preparation of export certificates [2-4-14](#)
- Prepayment
 - procedures for accepting [A-1-6 to A-1-7](#)
- Procedures for export summaries [2-3-1 to 2-3-13](#)
- Processed
 - and nonplant products
 - information to gather [2-2-2](#)
 - plant products
 - certificate for [3-1-5](#)
 - product
 - definition of [3-1-12](#)
 - products [1-1-2](#)
- Processing violations of ESA and CITES [2-8-28 to 2-8-34](#)
- Prohibited
 - products [1-1-3](#)
 - finding them in summaries [2-3-2 to 2-3-4](#)
 - what's covered [1-2-1](#)
 - statements [2-5-11](#)
- Protected plant species of ESA and CITES
 - approved signatures for [2-8-11](#), [2-8-24](#)
 - determining if regulated by [2-2-6](#)
 - distribute OMA export documents [2-8-15](#)
 - example of
 - a certificate (endorsed) for artificially propagated plants (Form 3-201A) [E-1-19](#)
 - a continuation sheet to accompany CITES documents [E-1-21](#)
 - a deletion on an inventory sheet [2-8-14](#)
 - a State certificate of origin for the export of wild ginseng [E-1-27](#)
 - a USDA General Permit (PPQ Form 622) [E-1-2](#)
 - an export permit (endorsed) for CITES protected Flora (Form 3-201A) [E-1-17](#)
 - an inventory sheet (endorsed) to accompany CITES documents [E-1-23](#)
 - an Office of Management Authority (OMA) permit for Endangered Species (Form 3-201) [E-1-4](#)

- an OMA endorsed issued CITES document to authorize the movement of CITES protected articles (Form 3-201A) [E-1-15](#)
- an OMA export report listing the special conditions for the export of cultivated ginseng [E-1-26](#)
- an OMA export report listing the special conditions for the export of wild ginseng [E-1-24](#)
- an OMA issued Certificate for artificially propagated plants [E-1-10](#)
- an OMA issued Certificate to authorize the movement of Artificially Propagated CITES Protected Plants (Form 3-201A) [E-1-14](#)
- an OMA issued export permit to authorize the movement of CITES protected articles (Form 3-201A) [E-1-12](#)
- an OMA multipurpose form for CITES permits and certificates (Form 3-201A) [E-1-8](#)
- an OMA permit for Threatened Species (Form 3-201) [E-1-6](#)
- plants [2-2-4 to 2-2-7](#)
- certify [2-2-4](#)
- process [2-2-6](#)
- special procedures for [2-8-1 to 2-8-34](#)
- Protected plants [2-2-2, 2-8-1 to 2-8-26](#)
- and plant products [2-2-6](#)
- comparing documents [2-8-12 to 2-8-14](#)
- compare quantity [2-8-12](#)
- confirm authorization [2-8-13](#)
- confirm special conditions [2-8-12](#)
- process the violation [2-8-13](#)
- unauthorized entries [2-8-13](#)
- documents that are unexpired, completed and authentic
- approved signatures [2-8-11](#)
- CITES documents [2-8-11](#)
- current documents [2-8-10](#)
- document authenticity [2-8-11](#)
- documents that are unexpired, completed, and authentic [2-8-10 to 2-8-11](#)
- endorse and distribute documents [2-8-14 to 2-8-15](#)
- overview of the steps
- Figure 2-8-1 [2-8-1](#)
- permits, certificates, and other documents [2-8-4 to 2-8-9](#)
- documents that must accompany the export [2-8-4](#)
- of commercial CITES protected plants [2-8-5](#)
- of commercial shipments both by CITES and ESA [2-8-4](#)
- of ESA protected plants [2-8-7](#)
- of noncommercial shipments both by CITES and ESA [2-8-9](#)
- process violations of ESA and CITES [2-8-28 to 2-8-34](#)
- forfeiture procedures [2-8-31 to 2-8-33](#)
- when the value of the material seized exceeds \$10,000 [2-8-31 to 2-8-32](#)
- when the value of the material seized is \$10,000 or less [2-8-32 to 2-8-33](#)
- overview of the steps
- Figure 2-8-6 [2-8-29](#)
- retail value [2-8-30](#)
- system for filing violations [2-8-29 to 2-8-30](#)
- validate and endorse documents for
- American ginseng (*Panax quinquefolius*) [2-8-16 to 2-8-28](#)
- approved for harvest season [2-8-21 to 2-8-22](#)
- CITES requirements [2-8-17](#)
- comparing documents to the actual shipment [2-8-25 to 2-8-26](#)
- confirm authorization [2-8-25](#)
- confirm special conditions [2-8-25](#)
- documents associated with the export or reexport [2-8-17 to 2-8-18](#)
- documents that are unexpired, completed and authentic [2-8-23 to 2-8-24](#)
- authenticity of documents [2-8-23](#)
- CITES permits and certificates [2-8-23](#)
- current documents [2-8-23](#)
- documents that must accompany the export [2-8-18 to 2-8-20](#)
- for the export of American ginseng collected from cultivated plants [2-8-20](#)
- for the export of American ginseng collected from the wild [2-8-19](#)
- reexport of American ginseng [2-8-20](#)
- requirements [2-8-19](#)
- endorse and distribute documents [2-8-29 to 2-8-30](#)
- legal weight [2-8-26](#)
- other than American ginseng [2-8-2 to 2-8-15](#)
- documents associated with reexport [2-8-3 to 2-8-4](#)
- requirements for mail shipment [2-8-4](#)
- quantity [2-8-25](#)
- requirements for mail shipment [2-8-18](#)
- Protocol
- table to determine [1-6-2](#)
- Puerto Rico
- issuing PC's for commodities to [2-2-4](#)
- Purpose [1-1-1 to 1-1-3](#)
- basic policy [1-1-1](#)
- foreign products [1-1-2 to 1-1-3](#)
- transiting foreign products [1-1-3](#)
- processed products [1-1-2](#)
- prohibited products [1-1-3](#)

Q

- Questions
- call for [1-6-1](#)

R

Radiation [2-5-11](#)

Receipt for Accountable Items (APHIS Form 47)
sample of [A-1-26](#)

Record of Public Funds Received (APHIS Form 94)
sample of [A-1-25](#)

Recording inspection results [2-4-15](#)

Reexport
certificate
description of [3-1-5](#)
shipments [2-1-4](#)
certifying [2-6-1](#)
determine entry status [2-6-2](#)
determine the appropriate action for shipments that have officially entered U.S. commerce [2-6-2](#)
introduction [2-6-1](#)
prohibited [2-6-1](#)
requiring an entry condition [2-3-4](#)
review export summaries [2-6-3](#)
to U.S. Affiliated Islands [3-1-2](#)

Refunds for unused certificates [A-1-19](#)

Regulation 7CFR Part 353 [1-4-3](#)

Regulations (laws and regulations) [1-4-1 to 1-4-3](#)

Reissued Certificates
charging for [A-1-12 to A-1-16](#)

Relacing lost PPQ Form 577 [2-5-13](#)

Related documents [1-4-1 to 1-4-3](#)
enabling legislation [1-4-1](#)
Endangered Species Legislation [1-4-1 to 1-4-2](#)
CITES [1-4-2](#)
ESA [1-4-1 to 1-4-2](#)
regulations [1-4-3](#)
7CFR 353 [1-4-3](#)
7CFR 354.3 [1-4-3](#)

Relating problems [1-6-1](#)
protocol [1-6-2](#)

Replaced certificates
charging for [A-1-12 to A-1-16](#)

Requests for export certification
forms for [1-3-3](#)

Required
AD or OV [2-3-11](#)
import permits [2-3-4 to 2-3-5](#)
treatments [2-3-8 to 2-3-10](#)

Responsibilities
certifying official [1-3-1 to 1-3-3](#)
contact point officers [1-3-4 to 1-3-9](#)
exporter [1-3-3](#)
issuing office [A-1-16 to A-1-18](#)

Retaining PPQ Form
579 [2-6-9](#)

S

Safety
precaution for treated plant material [2-4-10](#)
procedures for treated plant material [2-4-10](#)

Sample [E-1-27](#)

Sample size [2-4-7 to 2-4-10](#)

Samples
determining size [2-4-9](#)
factors to consider [2-4-9](#)

Scope [1-2-1](#)
what is covered [1-2-1](#)
what is not covered [1-2-2](#)

Seed Potatoes
Export Standards [P-1-9](#)

Seed Potatoes
Export Standards [P-1-1](#)

Shipment
determining origin [2-2-3](#)

Shipping date [2-4-6 to 2-4-7](#)

Signature
preparing a phytosanitary certificate [2-5-12](#)

Soil inoculants [2-2-3](#)

Special inspection procedures
containerized oak lumber [2-10-1](#)
field grown nursery stock to the EUN [I-1-2 to I-1-3](#)
plants in growing media to the EUN [I-1-1 to I-1-5](#)
validating and endorsing documents for
American Ginseng [2-8-16 to 2-8-28](#)
protected plant species other than American ginseng [2-8-2 to 2-8-15](#)

Specific
ports for importation [2-3-12](#)
time
for importation [2-3-8](#)
period
requirement [2-3-8](#)

Specified ports
requirement [2-3-12](#)

State phytosanitary certificate
definition of [3-1-13](#)
in lieu of inspection [2-4-4](#)
when an exporter wants to use [3-1-13](#)

Suggestion
call in [1-6-1](#)

Summary
background [2-3-1](#)
definition of [3-1-13](#)

Superseding PPQ Form 577 [2-5-13](#)

Supervision (as it relates to treatments)
definition of [3-1-14](#)
responsibility [1-3-1 to 1-3-4](#)

Supporting documents
safety
precautions [2-4-10](#)
procedures [2-4-10](#)

T

Tagging procedure
used by Florida personnel to certify plants in growing media and in containers 21" or larger [1-1-4](#)

Technical Office for International Trade [2-5-11](#)

Terms (definitions and explanations of terms) [3-1-1 to 3-1-14](#)

Territories of the U.S.A.
issuing PC's for commodities [2-2-4](#)

Threatened
definition of [1-4-1](#)

Time limit
between inspection and exportation [2-4-4](#)

Training [1-7-1](#)
for certifying officials [1-7-1](#)
for CPO's [1-7-1](#)

Transiting the United States [2-6-1](#)

Transmittal and Receipt for Accountable Items
example of [A-1-16 to A-1-18](#)

Treatment
acceptable [2-3-8](#)
definition of [3-1-14](#)
recording on the phytosanitary certificate [2-5-4](#)
requirement [2-3-8](#)

U

United States/Canada Greenhouse Certification Program [0-1-1 to 0-1-13](#)

Updating the Export Certification Manual [J-1-1 to J-1-10](#)

Updating the manual [J-1-1 to J-1-8](#)

User fees
accounting for certificates [A-1-16 to A-1-18](#)
annual maintenance [A-1-20](#)
monthly reports [A-1-20 to A-1-22](#)
procedures for collecting
charging [A-1-3 to A-1-9](#)
materials needed [A-1-2](#)
prepayment [A-1-7](#)
refunds and credits [A-1-19](#)
reissued/replaced certificates [A-1-12 to A-1-16](#)

Users [1-3-1 to 1-3-4](#)
experienced [1-3-1](#)
primary [1-3-1](#)
responsibilities [1-3-1 to 1-3-4](#)
of certifying official [1-3-1 to 1-3-3](#)
of exporter or shipper [1-3-3 to 1-3-4](#)

V

Validating documents for American ginseng [2-8-16 to 2-8-28](#)
differentiate between wild and cultivated ginseng [2-8-26](#)
distributing OMA export documents [2-8-26](#)
endorsing the documents [2-8-26 to 2-8-28](#)
example of an endorsed OMA Export Report listing the special conditions for the export of cultivated ginseng (front) [E-1-26](#)
wild ginseng (front) [E-1-24](#)
requirements for mail shipments [2-8-18](#)
sample of a State Certificate of Origin for the export of wild ginseng [2-8-22](#)

Validating documents for American ginseng Approved signatures for [2-8-23](#)

Validation
definition of [3-1-14](#)

Violation of Federal Regulations (APHIS Form 7060) [N-1-1 to N-1-4](#)

Violations of ESA and CITES
processing [2-8-28 to 2-8-34](#)
system for filing [2-8-29 to 2-8-30](#)

Virgin Islands, U.S.
issuing PC's for commodities to [2-2-4](#)

Voiding PPQ Form 577 [2-5-14](#)

W

Wood products
mill certification programs for coniferous sawn
wood [G-1-1 to G-1-23](#)

